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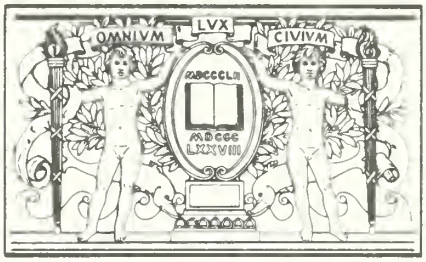

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UNIFORM REPORTS ON TITLE XX
MASSACHUSETTS MONITORING PROJECT

December, 1976

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Prepared for and Submitted
to the
United Way of America
Title XX Clearinghouse
Nine State Monitoring Project

UNIFORM REPORTS ON TITLE XX
MASSACHUSETTS MONITORING PROJECT

December, 1976

Audrey M. Ryack, Planner
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by
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14 Somerset Street
Boston, Massachusetts 02108

Report #141

Report of the

UNITED COMMUNITY PLANNING CORPORATION

to the

UNITED WAY OF AMERICA

December, 1976

United Community Planning Corporation (formerly United Community Services of Metropolitan Boston) is the planning partner of the United Way of Massachusetts Bay. It is a nonprofit citizen-led human services planning and research organization.

UNIFORM REPORTS ON TITLE XX

MASSACHUSETTS MONITORING PROJECT

Title XX Clearinghouse
Nine State Monitoring Project
United Way of America

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INTRODUCTION

This report on the implementation of Title XX in Massachusetts was prepared as a part of the Title XX Clearinghouse Project of the United Way of America (UWA). Massachusetts was one state selected to participate in a Nine State Monitoring Project to assess the impact of Title XX upon clients, voluntary agencies and human service delivery systems across the country.[1] The United Community Planning Corporation (UCPC) was asked to undertake this study in Massachusetts by responding to a questionnaire developed by the UWA.

This document contains the completed five part questionnaire, which has been sumbitted to the UWA for use in a comparative analysis of Title XX in the nine states being studied. To facilitate the reading of the report, responses are presented together with the original questions from the UWA. Also included, in Appendix E, are two special subject area reports on Service Definitions and Citizen Participation in Title XX Planning.

UCPC has been involved in a variety of planning activities relating to Title XX since its inception, and previously had participated in the implementation of Title IV-A and the Donated Funds program. However, information beyond that available through the staff was needed to respond to the detailed questionnaire. To supplement our data, interviews were held with officials in the state's Title XX Agency (Department of Public Welfare), the Executive Office of Human Services, legislators and other public officials. Information also was obtained from service

[1]The eight other states are Arkansas, Connecticut, Illinois, Ohio, Oregon, Pennsylvania, South Carolina and Tennessee.

providers through the United Way Executives of Massachusetts, from the Massachusetts Council of Human Service Providers, and from other individuals and organizations. Their valuable assistance is greatly appreciated.

The process of collecting and integrating information from a variety of sources in both the public and private sectors has helped UCPC, as a planning agency, in gaining a perspective on Title XX planning in Massachusetts. UCPC is sharing this information with public officials responsible for Title XX planning and implementation, and with a number of service providers throughout the Commonwealth. Additional copies may be obtained for a small charge by contacting UCPC. It is our hope that this report will contribute to a general understanding of the implementation of Title XX and to continued improvement in the delivery of human services.

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UNIFORM REPORTS ON TITLE XX
NINE STATE MONITORING PROJECT

I. PLANNING

1.0 Planning Methodologies

1.1 Description of methods used to prepare comprehensive plan (statistical data derived from clients served in related programs, public hearings, survey opinion polls, interviews, and meeting with various groups concerned with social services).

Title XX planning in the first year was coordinated by a seven-person group working out of the Executive Office of Human Services (the state umbrella agency covering all human services programs), under the direction of the Assistant Secretary for Planning and Program Analysis. In addition to the core planning group there was an inter-agency task force with representation from 13 state agencies and the office of the Lieutenant Governor.

As a first step, all state agencies having social service client populations (principally Department of Public Welfare, Commission for the Blind, Department of Mental Health, Department of Elder Affairs, Department of Youth Services), were requested to provide data on their service programs. The information requested was:

- a description of agency organization structure through which services were delivered.
- discussion of existing mechanisms used to evaluate social services.
- amount of money spent for each service and for each

category of service recipient in FY 1975, and projections for FY 1976.

- numbers of clients who received services in FY 1975, and number of requests for service anticipated in FY 1976.

Public agencies were asked to provide the above data on a regional basis wherever possible.

The responses which the Title XX planning team received consisted mainly of caseload counts and agency budget information which was prepared earlier, plus existing descriptive material about agency operations. In other words, departments supplied information that already was compiled; in no sense did the agencies attempt an original effort at data collection for Title XX planning.

The major problems posed by the available data were duplicated caseload counts, and the fact that most agencies (with Public Welfare a major exception) had no experience with unit costing. To supplement the material received, Title XX planners also made use of a telephone survey to public agencies, and research secondary source materials, including census data and a number of private and public sector reports (both national and local in scope) on service needs and delivery (see Appendix A, from the 1976 CASSP).

Despite the deficiencies in the material supplied by state agencies, Title XX planning staff acknowledged that this data was the primary source used in developing the first year plan.

Thirteen issue papers outlining options available to the state under Title XX were prepared by the planning staff and circulated to seven regional advisory committees (discussed later) and to other planning provider, advocacy and consumer groups for comment. The issue paper topics were: eligibility for services, fees for services, information and referral services, protective services, services to disabled person receiving SSI payments, day care services, reporting, confidentiality, donated funds, public in-kind, training and re-training, and maximizing Federal and state resources.

For further information regarding meetings with groups concerned with social services, please refer to the responses to Questions 4.2 and 4.3 of Section I.

1.2 Listing of "types of planning data available for application in needs assessment procedures within the state. (Is data computerized? Is it correlated with related data from outside state agency sources, has data been used to show a cause and effect relationship between services and any of the Title XX goals?)

The "types" of data utilized in the first year planning were outlined above. Planning in the second year (FY 1977) was based on the same kind of information, primarily budget data, but early in 1976 Title XX planning staff began to implement a new needs assessment project, the results of which will first be used in the FY 1978 plan.

The data for the 1978 CASSP Needs Assessment will come from three efforts. First, data will be extracted from a stratified community survey of selected households in Region IV, conducted by the United Community Planning Corporation and Combined Jewish Philanthropies. This region, which encompasses the Boston Metropolitan area, includes roughly one-half the population of the state, and has been broken into three sub-regions. The Community Survey is expected to produce data on thirteen out of thirty services included in the 1977 Title XX plan. The report will include information pertaining to demographic descriptors of the population surveyed, perceived social problems, expressed needs of consumers, service utilization patterns, and consumers' awareness of existing social service resources.

A second source of information about social service needs in the state is being provided by the regional committees. Each regional sub-committee is conducting a survey of social service needs as perceived by key informants. These surveys are being administered partly by direct interview and partly by mailed questionnaire. Key informants include members of the regional Title XX sub-committees, other persons suggested by them, and selected special interest groups.

A third source of planning data for the 1978 plan is a pilot study for a state needs assessment conducted by the State Title XX agency in cooperation with the United Community Planning Corporation. The study was carried out in three areas of Massachusetts: Taunton (a white, rural/suburban,

low-income population area), one neighborhood in Boston (a black, low-income inner city population), and Chicopee (a white, urban, low-income population). Profiles of need were prepared for each of these areas based upon a survey of welfare recipients, state provider agencies, and elected officials in each area.

Data on regional needs also are presented, based on statistical data and on surveys of members of the regional committees. In addition, a profile of statewide needs was prepared, based upon reports of all public social service providers in the State Executive Office of Human Services.

The data from this pilot needs assessment study have not been analyzed fully yet. However, two findings have particular significance for the planning of social services. First, there was a marked discrepancy between the service needs perceived by welfare recipients and those perceived by public service providers and regional committee members. Secondly, the needs perceived by recipients varied among the three areas surveyed. Generally, however, recipients did not assign high priority to the services provided currently as the three mandatory services to SSI recipients. The Needs Assessment Data report states that this finding may have implications for changing these three mandatory services.

Although this needs Assessment study for the 1978 CASSP includes only 3 areas (of 40) it has laid the foundation for more inclusive studies to determine service priorities

by need. Current plans are to perform annual needs assessments, including additional communities each year until the entire state is covered.

1.3 If use of survey is involved--who is covered by the survey? Is information solicited from providers? Recipients? General population? Does it assess outcomes of services or public opinion?

In the first planning year the only survey used was a follow-up telephone survey to public agencies. Providers, clients and the general public were not contacted in a survey.

Survey data are being used in the needs assessment for the 1978 CASSP. A discussion of the details of the collection of these data is included in the response to Question 1.2, above.

2.0 State Plan Characteristics

2.1 Was the state plan inclusive of all related social services programs operated within the state Title XX agency? In general (including municipal, county, city, and private providers?)

The state plan of 25 services (30 in the second year) included virtually all services programs offered by the state Title XX agency (Department of Public Welfare). Exceptions were adoption subsidies, group services and the Spanish program.

The state plan also included related social services delivered by private providers through contracts with the designated agency and with other state agencies authorized to purchase Title XX services.

2.2 In which functional area was the state plan coordinated with other social services and related functions? (give list) To what degree?

Coordination of Title XX programs and related services occurred in the following areas:

- Title IV-A (cash assistance): including the Work Incentive Program, protective payment situations (cash payments made to a third party), protective situations such as child abuse or neglect, removal from or placement in foster care or institution, emergency situations, and family planning.
- Title IV-B (child welfare services).
- Supplemental Security Income (cash assistance to the aged, blind and disabled.)
- Title XIX (Medical Assistance): for medical care which is an integral part of a services plan, including family planning services and Early and Periodic Screening, Diagnosis and Treatment.
- Title III and Title VII (Older Americans Act): for homemaker, chore, information and referral, emergency, transportation, legal, housing, occupational therapy, health maintenance and day care services under Title III, and nutrition programs under Title VII.
- CETA (Comprehensive Employment and Training Act): to provide services staff in the Department of Public Welfare, Public Health, Mental Health,

and, in the future, to staff other human services programs.

A major thrust of the Title XX plan was to develop common reporting systems and eligibility procedures for clients receiving benefits under other programs in addition to Title XX.

2.3 Did the plan clearly distinguish which services were going to which geographical areas at what cost?

The Title XX plan details, in chart form, expenditures for each type of service in each of seven regions, by category of individuals eligible for Title XX services. There is also a summary chart illustrating the total number of clients per service, and total expenditure for each service, in each of the seven regions. This format is continued in the second year plan.

2.4 Was the plan applied to identifying the universe of social services and comparable services delivery with needs and gaps or was it only used to identify how Title XX funds would be applied?

An attempt was made to identify gaps in service delivery by requesting state agencies to estimate the number of people being served in the current fiscal year (1975). Most agencies were not able to provide this information. From the data that was available, Title XX planners concluded that projected need would greatly exceed actual service delivery in every category of service. This fact, combined with the knowledge that social services costs in Massachusetts

would exceed the Federal matching amount allotted under the ceiling, led planners to focus less attention on "need" in setting priorities under Title XX. The plan does, however, contain a chart summarizing service needs in Massachusetts, with the "at risk" population calculated for each of 42 separate problems or need areas.

The criteria used in determining Title XX service priorities were:

1. Services which meet the principal requirements for Federal reimbursement under Title XX (e.g., three mandatory services to SSI recipients, family planning for AFDC recipients).
2. Special consideration for services mandated by Federal or state law (e.g., protective services to neglected or abused children.)
3. Services for which state agencies have demonstrated ability to maximize Federal reimbursements.
4. Relationship of service to the state's priority needs as defined by the Title XX planning process.

2.5 Were definitions for services established in the state plan on the basis of functional categories (e.g., day care) or client groupings (services to retarded)? Were service definitions distinguishable? Did they differ from voluntary agency definitions? Were they applied statewide? Did the state use only special methods of defining services (such as UWASIS)? Did the manner in which services were defined adversely affect voluntary agencies?

Service definitions in the Title XX plan for Massachusetts were service-specific, rather than based on client groupings. Service definitions are presented in the first year plan

in the form of a glossary of services. Services were defined discretely in terms of specific activities which make up the service. However, in order to maintain the identity of service programs, definitions included the type of facilities through which the services would be offered. Minor medical and remedial care, as well as board and room, also are specifically identified when these components are to be purchased as part of the service. Services were catalogued individually by discrete service, with indications of method of service delivery, relationship of the service to objectives, eligibility categories, geographic areas served, and estimated total eligible expenditures. Definitions were applied statewide.

The 1976 CASSP states that "service definitions represent cooperative efforts to standardize the meaning of certain categories of service," and states further that definitions for those services to be provided without regard to income (Information & Referral, Emergency Shelter, and Protective Services) were modified to meet federal requirements (p. II-2). Many of the services were defined to include services already existing which were newly reimburseable under Title XX. Thus, services were defined in order to maximize federal reimbursement and to comply with federal regulations.

Although service definitions were commented upon briefly in several state issue papers, and in more depth in the Donated Funds Issue Paper, no separate issue paper was written on

service definitions. This made it more difficult to respond in detail to the definitions as they appeared in the final plan.

Since a significant volume of social services in Massachusetts are purchased, it seemed most appropriate that the voluntary sector should have input into service definitions. Toward this effort, the United Community Planning Corporation initiated an effort to inform private agencies of the issues involved, and to encourage written comment on service definitions. Written comments regarding service definitions were submitted by the voluntary sector, but the state did not incorporate these to any significant degree in establishing the service definitions for the 1976 or the 1977 plan. As a result of public comment, however, two services were added to the final plan: chore services and case management services for the residents of public housing.

Service definitions established in the 1976 and 1977 State Plan did differ, to varying degrees, from those used by private agencies. However, this has not appeared to have affected voluntary agencies adversely. Private providers have been able to rewrite their own definitions of service in order to qualify for purchase of service contracts. In fact, the Director of the Purchase of Service Unit of the Title XX Agency provided assistance to agencies in adjusting their service definitions to meet contractual requirements for Title XX services.

The Title XX planning agency has shown an interest in incorporating service definitions from the private sector to a greater degree in the 1978 CASSP. Specifically, they are interested in efforts presently underway by the United Community Planning Corporation and the United Way of Massachusetts Bay to develop a comprehensive set of definitions for services to which United Way funds are allocated. These definitions are not in conflict with UWASIS, but provide more detail on specific services. The state agency has indicated that these definitions, with modifications to meet Title XX purposes, may be used in the 1978 Plan where appropriate, and that the format of these definitions (which includes a measure of effort in service provision) may be used for all the Title XX service definitions.

2.6 Did the state have problems preparing the CASSP Title XX plan for the first year because (a) the legislature was out of session (b) the budget had already been enacted (c) the state administrators had never prepared a social services plan before (d) other reason.

Aside from the afore-mentioned problems related to data collection, preparation of the plan was made difficult because the conversion to Title XX coincided with the election of a new governor and the transition from a Republican to a Democratic state administration, involving major personnel changes. The planning team was placed in the Executive Office of Human Services in part because there was no appointed Welfare Commissioner,

and because of the governor's interest in strengthening cabinet-level functions. Related problems included a delay in staffing the planning team, and the fact that several key officials (including the Assistant Secretary of Human Services and the new Welfare Commissioner upon his appointment in March) were unfamiliar with social services in general and Title XX in particular.

The state faced a severe budget crisis throughout 1975, causing Title XX planning to progress in an atmosphere of extreme fiscal constraint. An added handicap was the delay in receipt of federal guidelines on implementation issues, particularly reporting procedures.

2.7 Was the state plan for '76 used in preparing the governor's budget for FY '77? If so, do the Title XX categories appear in the state budget documents? If not, why not?

No. The FY 1976 plan was not completed in the sufficient time to be utilized, in preparation for the FY 1977 budget. To the extent that any coordination existed, it was in the nature of protecting certain budget items for social services which were assured of Federal reimbursement. This same "reimbursement strategy" had been in effect under the old Title IV-A social services. Coordination of Title XX planning and budget compilation is intended for the FY 1978 plan which is scheduled to be completed by September, 1976. (The Massachusetts budgeting process requires that state agencies submit their requests for FY '78 by September of 1976.)

3.0 Administrative Structure

3.1 What effect did the administrative structure of the state (and the designation of the Title XX agency have on the nature of Title XX planning activities?)

In the first year, Title XX planning was located in the Executive Office of Human Services, the umbrella agency which supervises most public agencies involved in the delivery of Title XX services. The decision to locate the planning effort in the Executive Office of Human Services, rather than the Department of Public Welfare, was tied to the transition in administrations, since new administrators were expected in the Welfare Department but were not yet appointed. The decision had both positive and negative consequences. It facilitated interagency cooperation which may have been less successful if a single line agency had had planning authority over other line agencies. On the other hand, since Title XX implementation was to be administered through the Welfare Department, there was some resistance among Department of Public Welfare personnel to supervision from the Executive Office of Human Services, and there were alleged drawbacks in separating the planning and implementation functions. In the second year, planning was transferred to the Department of Public Welfare, which was vested with rule making authority, while the Executive Office of Human Services was not.

Prior to 1968, public welfare programs in Massachusetts were administered at the local level by 351 cities and towns with the state sharing costs and having supervisory authority. Since 1968 the system has been totally state-administered.

3.2 (Only if the services program is state supervised-locally administered)

This question is not applicable to Massachusetts. The services program is state supervised-locally administered by state employees.

3.3 (Only is the program is state-supervised, state administered).

3.3a What type of on-going presence does the state mainatain in day to day administration of Title XX? (Weekly monitoring visits local offices for direct provision of services, infrequent visits by regional staff for supervisory purposes.)

(All of the below must be read within the context of total state operation of public welfare. All public staff are by State Department of Public Welfare). The state requires monthly reporting of services requested, and services provided, from local welfare offices. Social services staff from regional offices are responsible for visiting local offices on a regular basis to evaluate service delivery; regional office supervision varies considerably from region to region. In addition, there is a new central office unit created since the inception of Title XX which will ultimately serve as a monitoring group. Since service objectives and evaluation criteria have yet to be developed, the unit performs as a review

team making random visits to regional and local offices. The reviews examine both administrative and program operations; of 60 visits made monthly, about one-third are done by program specialists.

The state also requires monthly reporting of services from private agencies providing service through purchase-of-service contracts. This has been the source of some difficulty for these agencies as reporting requirements (procedures and instruments) of the state agencies authorized to purchase private services are not uniform.

For this reason, voluntary agencies holding purchase-of-service contracts with several state agencies must often conduct separate and distinct record-keeping procedures for each contracting agency. In addition, state agencies have changed reporting requirements frequently, necessitating further changes in the program and financial reporting systems of voluntary agencies with whom they hold contracts.

The Massachusetts Council of Human Service Providers, Incorporated has prepared and submitted recommendations to the Executive Office of Human Services and the Executive Office of Administration and Finance for uniform reporting requirements as well as for more consistent and continuous monitoring and evaluation of program quality. (Please refer to the response to question 4.8.)

The majority of voluntary agencies providing Title XX services are not monitored by the state beyond the requirement of filing

monthly reports. Although some voluntary agencies have been visited by state agencies during negotiations for purchase of service, formal monitoring visits generally are not made after the contract has been signed. However, there are exceptions to this practice. Certain services provided to the elderly by the Home Care Corporations have been transferred from coverage under Title III to Title XX through interdepartmental agreements. For this reason, the Home Care Corporations have been notified that they will be visited by the Title XX monitoring staff after their first quarter; it is not clear at this point whether there will be one visit only, or whether the quarterly visits will be ongoing. In addition, the Children's Protective Service has been visited annually for case record reviews; the first visit was made by Department of Public Welfare regional staff. The field representative from the Department of Public Welfare purchase-of-service unit in one region has played an active role as liaison between the Department of Public Welfare agency and private agencies with purchase-of-service contracts; this staff person spends several days in the field weekly, providing technical assistance to the private agencies, and there is a resultant informal supervisory presence in this region. However, there have been no formal monitoring visits. From the information available to us at present, this is not typical of welfare activities in other regions.

3.3b If the state does not sub-contract with local governments for services what is its relationship to local county, city, or municipal government? How is duplication of efforts avoided?

In a state with 351 cities and towns and a strong local government structure (with a weak county government), it is exceedingly difficult to characterize the relationship between the Title XX agency and local governments. In many, if not most communities, the local arm of government provides few human services. In cities where more services are provided by the local government, such as Boston and Cambridge, duplication of effort likely would occur in the area of health and elderly services. Other services which the city may provide include services to public housing tenants, youth activities and human services as part of housing relocation, as in the case of urban renewal.

Except in the case of demonstration projects, coordination of effort between the state agency and local governments is weak. Yet duplication of effort is not a major problem, since a review of the services provided by local governments suggests they are meeting needs which the state Title XX agency does not address.

3.3c Do regional or local state officials promote a separate Title XX plan? Who develops the plan? How does it relate to the proposed and final statewide plans?

There is no separate plan developed by regional or local state officials. Input from regional and local offices in Title XX planning is very limited, consistent with the highly centralized structure of the Title XX agency.

3.3d Does the local administrator provide ongoing feedback to central state offices about services problems and activities? If so what is included in such reports--programmatic, cost or financial data?

The review unit described in 3.3a is a major feedback device operating currently. As mentioned, there are regular monthly statistical reports required. At the regional office level, there is a services coordinator (the associate regional administrator of social services) whose responsibilities include representing field problems to the central office. Tighter management controls are being designed for regional and local offices, which should result in a more systematic flow of information, both to and from the central office.

3.3e Do local state officials participate in the development of a state budget for social services? (to what extent?)

No.

3.3f Do local state officials participate in negotiations and review of purchase of service contracts? Who has primary approval over contracts?

Responses to requests for proposals on purchase contracts are circulated to regional and local offices of the Department of Public Welfare, and related agencies (such as the Office for Children) where appropriate, for review and comment before a decision is made on the provider. Input from local state officials is given significant weight and opposition from a local office would probably result in a provider being rejected. However, in many instances local and regional officials do not take advantage of their role in the contracting process, and fail to comment on contract proposals. The primary approval over contracts remains

with the Central Office of the Department of Welfare.

4.0 Process and Citizen Participation

4.1 When was planning initiated by the state government for Title XX? Was it a bottoms up process or a centrally imposed exercise? How will the process differ in planning for the second year?

First year planning was initiated in March 1975. The process was centrally imposed and implemented to the dismay of private agencies and other interested groups whose role was restricted to commenting somewhat in advance of the general public on the plan developed by public agency officials. It was intended that the second year planning process would rely more heavily on citizen input, particularly via seven regional committees that would play a central role in the entire planning cycle, from the generation of a statewide needs assessment onward. The second year planning process differed little from that of the first year, mainly because the regional committees were not organized until March, when the proposed FY 1977 Title XX plan was due.

The planning team, relocated in the Department of Public Welfare for the second year effort, decided in December 1975 that due to the time constraints in preparing a second year plan so soon after the first year plan, and unavoidably missing the state budget cycle (the governor's budget is submitted January 1, and agency decisions are made between September and November), emphasis would be placed on the third year. It was believed that it would be feasible to coordinate third year Title XX planning

with the state budget, and there would be sufficient time to develop regional committees and other avenues of citizen participation. For further information concerning the role of the private sector in planning for the third year, please refer to the response to Question 4.3.

4.2 At what point did the state utilize outside organizations in the planning process? (In development of the process, in gathering detailed data and information before the proposed plan, in (hearings, written, commented) providing feedback in response to the proposed plan, in on-going consultation over problems in the service plan? Which voluntary agencies were involved? (provide a chart which lists voluntary agency involvement by categories.) Was participation limited to contractors and providers or did others also get involved?

In the period March-May 1975, more than 60 statewide organizations were asked to comment on thirteen issue papers which were prepared by the Title XX planning staff. The Secretary of Human Services met once, very late in the planning process, with these provider, consumer and advocacy groups to solicit comments on the issues, and Title XX planning staff participated in several public and private sessions around the state briefing groups on the planning effort. Following publication of the proposed plan on July 1, meetings were organized at the regional level to review the contents of the plan. Public hearings were held in the state's three largest cities, with participation by outside organizations. In July, three task forces were formed (on training and re-training, donated funds

and fees and eligibility) and all included private agency representatives in their membership.

Voluntary agencies participated actively in providing feedback in response to the proposed plan. Representatives of these agencies testified at public hearings, and submitted written testimony and written comments on the proposed plan. Many voluntary agencies submitted written comments on the thirteen issue papers. (Records kept by the Title XX agency are not organized in such a way that it is easy to obtain information on agencies that submitted testimony and written comment.)

The participation of the voluntary sector in on-going consultation over problems in the plan was uneven; voluntary agencies participated fully in the three task forces (on donated funds, fees and eligibility, and training and retraining), voluntary input was the most significant in the Donated Funds Task Force Report. A Statewide Advisory Committee was formed during the initial planning stages for Title XX. Nineteen of the seventy-one participants were voluntary agency representatives. This committee met only once formally but input was appropriate and satisfactory (please refer to the response to Question 4.5). Voluntary agency involvement in the regional committees was quite limited (records of which agencies participated on these committees are not readily available). For a further discussion of participation

in these regional committees, please refer to the response to Question 4.3.

There was no involvement of voluntary agencies in the development of the planning process, in the gathering of data and information, or in special studies for the 1976 CASSP. Participation of the voluntary sector may be summarized in Chart form as follows:

Category of Participation	Degree of Voluntary Agency Involvement
Development of Planning Process	None
Gathering data and information	none
Special Studies	None
Providing feedback in response to proposed plan	-written comments on plan -comments on issue papers -testimony at public hearings
On-going consultation about problems in plan	-Statewide Advisory Council (one meeting) -three task forces -regional committees (limited participation

4.3 What roles did United Way organizations play in the planning process at the state level?

The relationship of the United Way organizations to the planning process for the 1976 CASSP may be understood best within the context of the constraints created by the timetable between the initial signing of the Title XX law in January 1975, the publication of the final Title XX Regulations in June 1975, and the publication of the final plan on September 30, 1975. The 1976 CASSP states that "the Commonwealth was committed to the conduct of as open a planning process as possible within the limitations of time and staff" (p. II-2).

However, the 1976 final CASSP also documents that the "commitment" and the reality of the planning process differed sharply. The 1976 CASSP states on page E-12,

> "citizens felt they had limited input into the draft plan, and many questioned whether individual or group involvement was really warranted by the state. There was a high level of distrust and cynicism expressed; many complained information about the act and the planning process was unacceptable; meetings for public comment were badly timed and notice of them was too short and too narrowly distributed. Some felt that the regional planning groups were dominated by state agency personnel and that private groups and citizens were unwelcome. This appears to be an accurate description of the experience of consumers and of the private sector."

In March of 1975, staff members from United Community Planning Corporation, United Way of Worcester, and Cambridge Community Services met with the Assistant Secretary for Human Services and directors of Title XX Planning and staff of the state Title XX planning team. At that time the private agencies offered to volunteer staff time to assist the state planning team, to convene meetings, to serve on committees, to review issue papers and to participate in any way needed or requested in the planning effort.

Although the Title XX planning team accepted the offer, due to lack of time and staff, the state planning agency later concluded that their task would be more easily accomplished if done primarily "in house," and they did not pursue the offers of assistance to any great extent. The United Community Planning Corporation did, however, take the initiative, and assigned a staff member to serve as the contact person for Title XX matters between the state planning office, the United Way agencies in the Massachusetts Bay area and the United Ways throughout the state. The state planning team made use of this staff person to assist them in distributing the proposed Title XX Plan, issue papers and other back-up materials to United Way organizations. This staff member also provided some technical assistance to the state planning team.

In March 1975, the core state staff wrote 13 issue papers explaining various options offered to the state under Title XX.

United Way organizations had no significant input into the preparation of these papers. Copies of the issue papers were not distributed to the private sector until mid-May, two weeks before the drafting of the plan and one month before final decisions on the content of the plan were made. Thus the time for submitting comments was so brief that thoughtful responses were difficult to prepare. The United Community Planning Corporation, however, did distribute the Issue Papers to United Way agencies and organizations and urged them to make comments and recommendations.

From March through May 1975 the state Title XX planning office established seven regional interagency committees. These committees were made up primarily of state agencies staff, were chaired by state staff members and included very limited representation from the private sector. The charge to these committees was to review and comment on the issue papers. In mid-May the Secretary of Human Services held the one meeting for a wide range of groups and individuals interested in social services to discuss the issue papers and to request written comments.

In an effort to fill the information gap in the private sector, the United Community Planning Corporation beginning in late winter of 1974 and throughout the spring of 1975 convened a series of informational meetings for United Way organizations.

Title XX was explained and the planning process clarified in an attempt to stimulate involvement of the private sector in the planning process. Members of the state planning staff attended by invitation as resource people. During the month of July, staff from the United Community Planning Corporation participated in task forces, convened by state planning agencies, on eligibility and fees, donated funds and training and retraining.

After publication of the draft plan on July 1, 1975, a forty-five day period for public comment was conducted. Three public hearings were held on the plan in three geographic areas of the state. However, these hearings were scheduled only 13, 14 and 10 days respectively before the finalization of the plan. Testimony in response to the issue papers was offered at these hearings by citizens and consumers and private providers.

In preparation for the 1977 CASPP, the involvement of private agencies was much the same as during the first year. Again, input from consumers and private providers was limited, due to the press of time.

The 1978 CASSP must now be completed by September, 1976. Private sector involvement began in April, primarily through seven regional committees of forty members each, structured to allow some input by private agencies and other interest groups. Staff of United Way organizations and of the United Community Planning Corporation are members of these committees, and made recommendations for membership. Each regional committee has been assigned a full-time staff person from the state Title XX agency. Two meetings

have been held to set needs priorities for each region. Others are planned during June, July and August to discuss major issues such as eligibility, donated funds, and in-kind contributions.

A new Director of Planning has been appointed, whose stated intent is to have the regional committees and citizens have significant input in the needs profiles and major Title XX issues. The state agency has indicated also that it will strive for a broader voluntary representation on these committees. Though the level of citizen participation for the first two planning years was disappointing to the United Way and other organizations, the planning structure for 1978 allows for greater input. How the structure is utilized and whether recommendations are taken seriously remains to be seen.

What roles did the state legislature play in setting priorities for Title XX? Was the legislature out of session? Will it be in session when the next plan is prepared? Does it plan to hold hearings on social services? What attention have legislators given to establishing management controls to the program? Did only members of the legislature participate in citizen hearings?

The Massachusetts Legislature has played virtually no role in Title XX planning for FY 1976 and FY 1977. At the time of the first year planning effort, the legislature was in session but consumed with deliberations over a major new tax program. In the second year, the Joint Committee on Human Services held one hearing to discuss the second year plan, but made no specific recommendations. The Ways and Means Committees have

displayed little interest, mainly because the Federal ceiling remained the same as under Title IV-A social services. If more Federal money was available, interest from this quarter would be keener. The issue which raises greatest interest among legislators is that of confidentiality, which attracts a large volume of constituent mail and is a popular issue in the state. However, there was an effort made by a special Senate Mental Health Committee, and a particular effort made by Senator Olver in his capacity as Chairman, to encourage the state's participation in training and retraining programs under Title XX. Through press releases and correspondence with the state administration, the Title XX planning agency, other state departments, and institutions of higher education, the senator's office urged that potential training and retraining funds be utilized in retraining state employees during the deinstitutionalization process in the Departments of Mental Health and Corrections. This effort led to the establishment of a Title XX task force on training and retraining. Although this task force made recommendations for such programs, the state did not implement these recommendations for a variety of reasons. The Senator's office did not continue these efforts during the planning for the 1977 CASSP, but may make another attempt during the planning for the 1978 CASSP.

4.5 Why has or hasn't a social services board or commission been established as part of the planning process? What is the make-up of board participants? How many represent voluntary agencies? How many are professionals or volunteers with detailed knowledge of Title XX? What influence does the board have? Does it issue a report on social service? Who appoints the board? To whom is it accountable?

The first year plan envision a Statewide Advisory Committee, including private agency representation, as part of the future planning process. The statewide committee was rejected by the planning team for the second year plan, largely because it felt a statewide committee could counteract the role and influence of the seven regional committees, and would be inconsistent with the objective of decentralizing planning functions. There is a small advisory committee on Title XX planning, with members from the National Association of Social Workers, state agencies other than Public Welfare, and academia. This is not a policy decision group, but advises primarily on operational matters.

4.6 Does the Title XX administrator also have an informed advisory group to whom he refers difficult policy questions? Who sits on this advisory group? What influence have they had?

No, there is no such group.

4.7 What adjective best characterizes the citizen participation process in your state? (political, technical, informational Why?

The role of citizen participation in planning for the 1976 CASSP in Massachusetts may be characterized best as informational. This is true of the participation of all citizen groups, including voluntary and private agencies, and consumer and advocacy groups. For further information concerning the citizen participation process, please refer to the response to Question 4.3.

4.8 Have voluntary agencies established any coalitions to deal with the state on Title XX? Have any divisions of interest developed among the non-profit providers? What major issues have divided voluntary agencies over Title XX?

There has been no formal coalition made up exclusively of voluntary agencies established to deal with the state on Title XX. The United Way Executives of Massachusetts, a group which already had been established for other purposes, has been used as a communications network to disseminate Title XX information to voluntary agencies throughout the state. This group also has been used as a mechanism to encourage as full a participation of the voluntary sector as is possible in the Title XX planning process.

Voluntary agencies in Massachusetts have been participating in coalitions with other private, not-for-profit organizations. The Title XX Coalition, which developed with the support of the Family Services Association of Greater Boston, is a mixed group of voluntary and other private non-profit organizations. This coalition was established late in 1975 to deal with the state on issues of privacy and confidentiality primarily as

related to Title XX. The Massachusetts Council of Human Service Providers, Incorporated, is another mixed coalition of voluntary and other private non-profit organizations. This coalition was established late in 1974 to deal with issues concerning state government management procedures for contracting with private providers for social services delivery. This coalition has become involved in negotiations with the state on Title XX issues as they relate to contracting for the purchase of Human Services from private not-for-profit providers. This coalition has become involved in negotiations with the state on Title XX issues as they relate to contracting for the purchase of human services from private not-for-profit providers. This group has written a platform which includes suggested revisions in the state procedures for contracting and payment for human services. The platform has been submitted to the Governor's office, the Executive Office of Human Services, and the Executive Office of Administration and Finance (please refer to the response to Questions 3.3a).

There have been no divisions of interest to date among the voluntary agencies or among any of the non-profit providers around issues pertaining to Title XX.

4.9 What types of political contacts have United Way voluntary agencies established in the state relative to Title XX? Who has been involved as allies or opponents? The Title XX agency? Members of the legislature? Staff of the legislature? Volunteers? Professionals? Staffs of the governor's office? The governor? Non-United Way voluntary agencies? The media?

Political contacts made by voluntary agencies relative

to Title XX have been minimal. There were no new contacts established to impact upon the Title XX planning process. As documented in the response to Question 4.4, the legislature played virtually no role in planning for the 1976 CASSP. Thus, the only political contact relevant to the planning process was with the Title XX agency. The United Community Planning Corporation and the United South End Settlements did make use of previously existing relationships within the Title XX agency in order to participate in the Title XX planning process. Because of United Community Planning Corporation's contacts, state agency staff was made available for several informational meetings with voluntary agencies, and United Community Planning Corporation staff was able to participate in the three task forces (on donated funds, training and retraining, and fees and eligibility) and, to a more limited extent, on the regional committees. Although these political contacts were minimal, it was through these contacts that the voluntary sector was able to involve itself in the planning process, even to the limited extent that it was involved (as documented in the response to Question 4.3).

The question of political allies or opponents relative to Title XX has not become a real issue at this time in Massachusetts for United Way voluntary agencies. The private agencies themselves, broadly speaking, have tried to function as allies around Title XX, both with each other and with the Title XX planning agency.

II. DONATIONS AND CONTRACTS

1.0 Private Matching Source

1.1 How much funds were donated by private sources in FY 76? FY 75? How much from local United Way organizations? (Prepare a list of all donations, sources, purposes, geographical areas, and amounts.)

Donations from private sources totaled $1,181,961 in FY 1975. Local United Way organizations donated $1,166,741 or approximately 98% of these funds. In fiscal year 1976, donations by all private sources totaled $1,104,627 of which local United Ways donated $1,065,906.

A list of all sources of donations (United Way, public and other private agencies) is available by amount and service category. However, because of the large number of these sources, a substantial investment of time would be required to compile this data. It is not feasible to identify specific geographic areas served by program category. A list of United Ways which donated funds in FYs 1975 and 1976 is attached in Appendix A.

All United Way organizations in Massachusetts donated funds in FYs 1975 and 1976 as shown by service categories in the following chart:

Service Category	Amount FY 1975	Amount FY 1976*
Protective Services (Children)	$267,479	$258,120
Emergency Care	63,000	10,800
Day Care	282,442	343,440
Homemaker Services	14,558	14,580
Services to Unmarried Mothers	19,575	25,650
Camping	190,000	173,936
Family and Individual Life Counseling	204,591	194,000
Mental Retardation	37,796	9,700
Services to Tenants in Public Housing	27,900	9,700
Services to Drug Addicts	--	--
Protective Services (Adults)	59,400	25,000**
Services to Alcoholics	--	--
Legal Services	--	980
Totals	$1,166,741	$1,065,906

1.2 What affect has the state's ceiling had on available federal funds for match with private agencies? What percentage of federal funds were already commited to match with state funds--because of the existing budget? In donating funds, is the donor required to sign a contract with the state?

The immediate effect of the federal ceiling imposed in 1972 was negligible, since Massachusetts at that time had a social services program which totaled less than the $69 million in

*This data was supplied by the state Title XX agency through May, 1976. Figures represent estimates for the full fiscal year.
**This represents donations only from the United Way of Mass. Bay; statewide figures not available.

federal reimbursement allottted. In 1975, once the ceiling was reached and exceeded, the effect was to place a cap on unlimited expansion of the donated funds program, since the state must pay the total cost of all social services beyond those financed by Title XX. In effect, donated funds was perceived as no longer a "no state cost" program. Since the growth of the donated funds program in Massachusetts was tapering off, the effect of the ceiling cannot be viewed as dramatic.

The total donated funds program (combined donations and federal match) in FY 1975 was $8.5 million, or 12% of the $69 million available in federal reimbursement. In FY 1976, $11.6 million (16% of the federal ceiling) was allocated for donated funds.

All private donors are required to sign a "donation agreement" with the state.

1.3 Is the donor contract standardized for the state? Is it connected in any way with a contract to provide services? Has the practice in the state been to automatically contract with the donor agency or its affiliate? Is this always done on a 3 for 1 basis? If the contract isn't standardized, has the United Way or any private donor reserved the right to audit the program for which the donation is made? Does any donor contract stipulate

(a) the use of funds for match with federal funds? (b) the use of funds for service through a designated agency?

The donation agreement is standardized for the state. The state does not contract automatically with the donor agency or its affiliate; this is prohibited in Massachusetts to assure open contracting. Requests for Proposals are sent to every eligible agency in the appropriate geographic area which potentially could provide the service for which funds have been donated. However, United Way affiliates have been successful consistently in securing contracts to provide services for which the United Ways have donated funds.

The great majority of contracts are made on a 3 for 1 basis (less the 10% overhead charged by the designated Title XX agency). Although not all contracts are 3 for 1, in no case has an agency received a contract for less than 2 for 1. Donor contracts do stipulate the use of funds for match with federal funds, but do not stipulate the use of funds for service through the Designated Agency.

1.4 Does the donor contract include a provision for administrative overhead by the state for supervision, handling, management or expenses? If so, how much? If not, does the state withhold a percentage in the contract with a provider? How much is withheld? Is it the same for all agencies?

The Title XX agency withholds 10% of the amount of the contract for administrative costs. This provision is included in the contract.

1.5 Is the donor contract in a lump sum or in periodic payments (quarters, months)? Is it fixed or variable?

Most donations are made on a quarterly basis. However, contracts vary on payment schedules. Each United Way has negotiated with the Department of Public Welfare (DPW) for the most convenient schedules of payments. These are not uniform, but differ for each United Way.

2.0 Contracts

2.1 How are the types of services provided by the state different from the types of services provided exclusively by non-profit agencies? For what reasons are certain services purchased and not others?

In determining those services to be purchased, the major factors taken into consideration are the services which the state agency (1) does not want to be in the business of providing, and (2) those services which the state cannot provide due to insufficient staff resources. In the first category are day care, homemaker, emergency care, and camping. The second category would include protective services and counseling services, which the state does provide directly but not in sufficient quantity. The state purchases all types of services that it also provides directly; there has been no instance in which the state determined that a particular service would not be purchased although informal negotiations always preceded any decision. In fact, the state has been reluctant to purchase I&R, but this is still negotiable.

2.2 Does the state solicit for competitive bid on services provided by state agencies? All services? Some services? No services? Is competitive bid utilized in cases where proprietary and other providers compete or just when proprietary agencies bid for services?

All purchase of service contracts are advertised via requests for proposals.

2.2a Have non-profit agencies been able to compete with proprietary ones in bidding? If not, why? Can their position be improved? If bidding is not used, what other method is? Is it fair and consistent?

A customary bidding process is utilized. Responses to the request for proposals are evaluated on a range of criteria other than cost, and the evaluation includes input from a variety of sources (discussed in I. 3.3f). The process for selecting a provider after reviewing responses to the RFP is based on a consensus of the reviewing parties, at the state and local level. While the decision-making process may be seen as somewhat subjective, the information on which selection of a provider is based (i.e., the information required in the request for proposal) is organized objectively. The process has come under recent criticism as expansion of purchase has receded, because in requesting proposals for contract renewals, only agencies already under contract are included.

Almost all contracts are with voluntary agencies (98-99 percent). The only service areas in which proprietary agencies are competing for contracts are day care and homemaker services.

2.3 On what basis are the rates for services established? Are the rates paid by the state uniform throughout? Are the rates competitive with normal rates charged to individual clients? Have there been cases where contracting agencies have subsidized the costs of service because rates are too low?

Rates are established through the contract negotiation process. Rates of reimbursement are negotiated on a contract-by-contract basis and are not uniform throughout. The request for proposals stipulates that rates may not exceed those charged to other clients, and as a rule agencies do not charge lower than normal rates in Title XX contracts. However, there have been cases in which private agencies have had to absorb costs of service not covered by low service fees.

2.3a Do rates vary for the same types of services to different clients? To different types of providers? Are they much different than the previously established rates set by tradition and practice in the localities served? Explain.

Rates for the same types of services to different clients should be the same, except in cases where fees are charged. For different types of providers, rates may vary widely. Day care rates, for example, range statewide from $5 to $12 daily for the same service; general counseling rates may vary from $8 to $25 per hour. The comparison of rates to those set by tradition is not applicable in Massachusetts.

2.4 What has been the trend in contracting for services? Has there been more contracting than previous years or less and why? Does the state contract for services with agencies for whom private donations are not contributed? Are any of these United Way agencies? What type of service do they provide? Is there a pattern ? What is the basis for it? Does this pattern vary in different parts of the state? Why?

Since 1970, when the Department of Public Welfare began contracting to purchase social services from private agencies (there were only a handful of contracts for services to unwed mothers in prior years), contracting has increased

ERRATA

The answer to question 2.4a, page 41, contains an error.

The first sentence of that answer should be corrected to read as follows:

> The state has purchased services through approximately 625 contracts.

steadily, though not substantially, each year. The level of contracting is now at a point where it is stabilizing, or increasing at a diminishing rate. Day care contracts, which account for a significant portion of purchased services, have leveled off. Of late, there has been an increasing emphasis on demonstration projects. The scope of contracting in the future depends in part on the views of a new Welfare Commissioner and a new Assistant Commissioner for Social Services, who have replaced the administrators who initiated contracting and presided over purchasing for more than four years. There are indications that contracting may decline in the future, in favor of direct service delivery. The state does contract with agencies including United Way member agencies, for whom private donations are not contributed. With the exception of day care,[2] contracts are about evenly distributed among agencies for which funds are donated, and others.

2.4a Through which agencies has the state purchased services? (Prepare list) Designated which are proprietary agencies and which are United Way agencies. To what degree have these contracts been targeted to United Way member agencies? What percentage of the total purchase-of-service contracting go to United Way affiliates? Do all United Way affiliates receiving Title XX financing use United Way match for arranging financing? If not, cite instances and reasons why.

The state has purchased services through approximately 250 contracts. However, the state has not retained a listing of agencies through which services have

[2]Donated funds account for a relatively small percentage of day care contracting.

been purchased; this data is not available.

Contracts are not targeted to United Way agencies. Although United Way agencies have by far the largest share of contracts, the objective of the Purchase of Service Unit is to secure the largest quantity of the best quality services within budget limitations. This is distinct from attempting to secure the largest quantity of services at the lowest available cost. Figures are not available on the percent of United Way member agencies' budgets coming from Title XX financing. However, in 1976 approximately 3% of United Way of Mass. Bay member agencies budgets came from Title XX donated funds.

Not all United Way affiliates receiving Title XX funds use United Way match for arranging financing. Some of these agencies have purchase-of-service contracts with the state which are not part of the donated funds program. In addition to United Way donations, donations are made on behalf of agencies by third parties. Funds from Community Development Block Grants and public housing grants are donated by cities and towns for which specific agencies may be designated. The United Way donates foundation monies as a third party, designating geographic area and program only.

2.5 What procedures are necessary to execute a contract? Do contracts also have to be approved by other governmental departments (fiscal, attorney general, etc.)? How long does this process take? Are special stipulations required by the state beyond Title XX requirements? What governmental agencies handle local subcontracting? What procedures are requried? Do these produce delays? Are there ways to speed up the process? Are there special stipulations required beyond Title XX requirements?

The first step in executing a purchase-of-service contract is publication of the request for proposal, after which four weeks is allowed for submission of proposals. A 30-day review period is allotted, followed by the contract negotiation, which may take up to two weeks but usually requires less time. Approval is required of the following agencies: Executive Office of Human Services, Rate Setting Commission, and Comptroller; this segment of the process usually takes no more than one week.

The contracting procedure through the donated funds program is somewhat different from that for other contracts. For this reason, the time period varies from the above. Five to six months may be required from the time a donor submits a letter of intent to receipt of the contract.

2.6 What roles have local United Ways played for contracting with voluntary agencies? How has United Ways helped agencies obtain contracts? (Information, technical assistance, donations, etc.) Who initiated efforts to obtain Title XX contracts? LUWO's or member agencies? Has United Ways attempted to coordinate its member agencies in their efforts to get contracts? In what ways could these efforts to help member agencies be improved or intensified? Has United Way dealt directly with the state Title XX agency in promoting greater use of purchased services? What strategies were used? Which ones seemed most effective? What problems were encountered?

Local United Ways have served as the donor agencies for the voluntary sector, and have initiated efforts to obtain Title XX contracts. Under Title IV-A, the United Community Planning Corporation (UCPC) (then United Community Services) and other United Ways played a significant role in interpreting Title IV-A regulations for member agencies, in alerting the DPW to the possibility of a donated funds program as specified under Title IV-A, and in informing

United Way member agencies and boards of federal matching opportunities for certain services.

Under the Title XX program, UCPC and local United Ways continue to provide information, technical assistance and cash flow assistance to voluntary agencies.

The United Way has not found it necessary to coordinate member agencies in their efforts to obtain contracts; agencies have been able to secure contracts satisfactorily through the existing structure. Earlier in the process, training meetings were held and there were individual consultation activities on an ongoing basis at the rate of about 5 hours per week. Massachusetts depends upon purchase-of-service contracting as a main source of state-provided social services (refer to question 2.4); thus the state already is making significant use of purchased services.

2.7 What precautions have United Ways and their member agencies taken against future default on agency contracts? If the state were to lose a substantial portion of its Title XX funds due to federal disallowance, what contingencies have the voluntary agencies built in as emergency operating funds? For how long? What role would United Way play? Has nay planning been done for this contingency?

United Ways and their member agencies have taken no precautions against default on agency contracts. No contingency planning has been done for provision of emergency operating funds or other back-up if Title XX funds were lost.

2.8 How long does it take for the state to reimburse voluntary agencies? What reasons have caused delay? Has this affected the fiscal situations of the agencies? Has the state considered advance funding for start up of contracts? What happened? If not, does the United Way generally assume the start up costs for member agency contracts for Title XX contracts? Are agency staffs given any training in state financial management procedures?

Reimbursement time from the state varies from one to six months. Some delays in reimbursement have resulted from cumbersome government procedures and some have occurred due to improper invoicing by provider agencies. This situation has created a negative cash flow situation for many contracting vendor agencies.

Some agencies have negotiated with the state for advance funding for the start-up of contracts. The Massachusetts Council of Human Service Providers (MCHSP) currently is negotiating with the Executive Office of Human Services for the employment of this practice. Some United Way member agencies have been using United Way funds to cover the front-end planning and start-up costs for Title XX contracts although the United Ways generally do not provide funds for these as separate budget items.

Agency staff have received training on contracts, eligibility data collection and rate setting. This training has been provided by the Title XX designated agency, usually in the form of one day seminars.

2.9 Has the state had to reduce contracts with private agencies due to ineligible claims that were unpaid by the federal government? What effect have federal interpretations on purchase of services and private donations had on the states' willingness to do business with non-profit agencies?

No. The federal government has not disallowed a significant amount of claims in the area of private purchase. Federal interpretations on purchase of services and private donations have not affected the states' contracting with non-profit agencies.

3.0 Long-term affects of contracting.

3.1 What affects are increased government funding for social services having on support for voluntary agencies in the state? Is it changing the "voluntary" character of the agencies? Is it affecting the stability of voluntary agency funding among United Way members? Are they affecting the relationship of United Way with its members? How? For which agencies and services? Is it influencing types of services provided? Is it affecting quality of services? In what ways is it affecting the stability of voluntary agencies? Is it affecting agency administrative structures or practices?

Increased government funding for social services appears to be affecting neither the stability of voluntary agency funding nor the relationship of the United Ways with member agencies. The United Way of Massachusetts Bay has not reduced its support of agencies which have secured Title XX contracts. However, government funding may be changing the "voluntary" character of some agencies often as a result of technical program requirements and the reduced opportunity for volunteers to set program priorities (as funding is available for a selected group of services).

Some voluntary agencies have changed their service delivery patterns as a result of increased government spending for social services. Those services for which there are increased funds available have expanded. For example, Family Life Education Services and Protective Services (of the five mandated services) now are being provided by agencies which otherwise might not have delivered those services. Voluntary agencies appear to be serving more lower-income clientele, as required as part of the contractual arrangement.

The quality of some services appears to have been affected positively in some cases and negatively in others. Some public agencies contracting for purchase-of-service have set high service standards and monitor and evaluate the provision of services; this appears to have resulted in improvement of the quality of some services. However, in other cases, some of the program requirements as established by Title XX may not be compatible with client needs; this creates a conflict for agencies depending on Title XX funds to provide services. Contracting for government funds is affecting agency administrative practices as a result of increased reporting requirements, need for cost analysis, rate setting, and a change in the manner in which agencies must set program priorities. If an agency has a large government contract relative to its total operating budget, its administrative structure maybe affected. Changes in staffing patterns have been made necessary by increased

requirements for reporting and program evaluation under Title XX contracts.

3.2 What precedents is Title XX planning and management having on agencies which contract for services. Are they becoming more outspoken advocates for client groups and service categories? Are the title rules of procedure (open planning, citizen participation, etc.) having any carry-over affects on providers and United Way agencies?

Because the planning process for Title XX services is supposed to be an open one, expectations for citizen participation have been raised. Agencies which contract for services have shown an increased interest in staff planning for social service delivery. The increase in purchase of service has stimulated the development of the Massachusetts Council of Human Service Providers, a statewide organization of human service agencies which are under contract (through Title XX, donated funds, or any other category) with any state agency or departments. The Human Service Coalition Alert (an association of voluntary and other private providers) was also organized in response to proposal cuts in state budgets of human service agencies. It is the perception of some in the state contracting agency (DPW) that a precedent is being set for more open competitive Requests For Proposals, and for a greater ability of the state to select contracting agencies from a variety of providers.

In discussing the role of agencies as advocates for client groups and service categories, an issue of clarification must be raised. It may be expected that any service agency will advocate for more of the services it is

established to provide. This activity has been observed. This is a matter of self-interest, aimed at preserving or expanding itself as an organization. Advocacy on behalf of client groups for improvement of the quality of services is an entirely separate role. Agencies have reviewed their programs generally and have tried to determine how their services may be modified to meet service needs of Title XX-eligible clients more effectively. For a further discussion of the participation of voluntary agencies in advocacy and in the planning process, please refer to Part I, Section 4.0 of the Nine State Monitoring Project Uniform Reports.

III. ELIGIBILITY AND RECIPIENT CHARACTERISTICS

1.0 Target Groups

1.1 What percentage of all Title XX services are directed to the following groups?
a. Children
b. Aged
c. Retarded
d. Youth
e. Physically Disabled

Data on service delivery to children and to youth are not separable in Massachusetts.

The percentages below are approximate. An additional 1% of services are targeted to the blind.

Target Group	Percent of All Title XX Services
a. Children (and youth)	50+%
b. Aged	14 %
c. Retarded	17 %
d. —	—
e. Physically disabled	17 %

1.2 To what client groups do United Way voluntary member agencies receiving Title XX funds provide services?
_____% AFDC
_____% SSI Recipients (aged)
_____% SSI Recipients (physical disability)
_____% SSI Recipients (mental disability)
_____% Income Eligibles (up to 80% level)
_____% Income Eligibles (80-115%)
_____% Individuals (over 115% level)

Client data is not collected standardly according to these categories by United Way member agencies. For this reason, data is not available currently.

1.3 How do the client groups served by nonprofit private providers compare with client groups served by public agencies under Title XX?

In Massachusetts, all clients receiving services under Title XX must be income-maintenance clients or income-eligible. Therefore, the client groups served both by not-for-profit private providers and by public agencies are low-income.

1.4 If voluntary agencies determine eligibility for services, how long does the eligibility determination process take per recipient? (Please send a sample of your state's eligibility determination "face" sheet.) Has the state provided training to providers on how to determine eligibility of clients? How long must a recipient of service wait until services are provided?

At this time, voluntary agencies do determine client eligibility. For income-maintenance clients, whose eligibility is established through possession of a Medicaid Identification Card, eligibility determinations are processed by voluntary agencies in a matter of four-five days, with most of the effort devoted to development of a service plan. Establishing eligibility for income-eligible clients had been taking up to two weeks, but Massachusetts is returning to a declaration system with enumeration of income sources but no verification, which should reduce the required time to the same four-five days.

The state has held periodic training sessions for providers on determining eligibility by income. However, private agencies continue to have difficulty with the eligibility determination "face" sheet.[1] This may be due to the fact that many contracting agencies do not have access to the Manual published by the Department of Public Welfare (DPW) on the determination of eligibility. Some DPW workers feel that inaccurate computation by private providers

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1 A copy of the eligibility determination "face" sheet is attached in Appendix C.

computation by private providers of the rather confusing eligibility formula has resulted in errors in determing eligibility. In most of these cases, clients who actually are income-eligible are determined erroneously not to be eligible for Title XX services.

In May 1976, the guidelines for determining eligibility were changed to include need for service as a factor as well as income eligibility. Complete information about these new guidelines has not been made available to contracting agencies, and no training sessions have been held on these new regulations.

1.5 What affects have eligibility determination requirements had on provider agencies contracting to do Title XX social services? What costs have been incurred by the agency to meet reporting requirements? Have eligibility determination requirements interferred with efficient delivery of service by line agency officials? What percentage of the contract is used by United Way member agencies for eligibility determination requirements?

Eligibility determination requirements do not appear to have had a major effect on provider agencies contracting for Title XX services. However, some agencies report that the process of eligibility determination has interferred with efficient delivery of service in two ways: first, some agencies claim that the eligibility determination process is complicated and confusing, and that it absorbs time that line workers could otherwise spend in the delivery of direct service; and secondly, some clients have felt that the eligibility determination process constitutes an invasion of privacy; and this issue may lead, directly or indirectly, to the disruption of service provision.

Initially, potential clients for Title XX services had to be referred to private vendor agencies through the DPW. Title XX eligible clients were required to obtain referral slips from the DPW before they could receive services from private agencies. However, since May 1976, this procedure is no longer required (the result of strong protests from private agencies); clients may go directly

to private agencies who determine eligibility themselves (please refer to answer 1.4 previously mentioned).

A discussion of costs incurred by agencies in meeting reporting requirements has been included in Part II, question 3.1 of the Uniform Reports. In some cases, agencies have had to hire special staff to carry out more sophisticated data collection processes than in the past. However, some United Way agencies have been able to supplement staff efforts with the expertise of their volunteers in meeting these requirements.

No hard data is available on the percentage of the contract used by United Way member agencies to pay for meeting requirements for eligibility determination. However, in most cases, it appears that this cost is a very small part of the amount of the contract.

2.0 Trends of Services

2.1 Has Title XX changed the trend of who receives services by voluntary agencies? Cite instances. Has it changed the mix of service "types" provided by traditional voluntary agencies? Have racial, ethnic or other problems occurred in agencies which shifted either types of services or clients to whom services were oriented? If so, what types?

Voluntary agencies in Massachusetts first began participating in the Donated Funds program under Title IV-A. This program subsidized agency budgets to allow increased service delivery to low-income clients. This was particularly evident in camping programs included in Donated Funds.

For this reason, implementation of Title XX has not resulted in any drastic change in the client populations of private or United Way member agencies, which already had increased service to low-income populations under Title IV-A. Targeting of Title XX services to low-income groups may have reinforced this trend, however.

Because a wider range of services is reimbursable services under Title XX, there has been an increased ability to provide a greater mix of service "types." For example, after-school day care and legal service programs, newly reimbursable under Title XX, have increased. The effect of Title XX on the mix of services provided by United Way member agencies has been discussed previously in Part II, answers 2.4, 3.1 and 3.2 of the Uniform Reports.

There have been no racial, ethnic or other problems experienced by agencies in converting to Title XX reimbursement. This is due largely to the fact that most agencies changed neither the types of services nor the client groups to whom services are directed.

3.0 Welfare Related Services

3.1 How does agency success or failure in helping welfare category recipients compare with non-welfare recipients? In AFDC? In SSI? Have they had more success in serving income-eligible recipients than more economically deprived recipients? Is there a correlation between success rates for services and socio-economic status of recipients?

In the donated funds program, voluntary agencies serve larger numbers of income-eligible clients than welfare clients. It is the state agency view that voluntary agencies feel a greater responsibility toward non-welfare clients and, historically, have felt more comfortable in servicing non-welfare clients. However, the state agency is increasingly emphasizing that referrals from local welfare offices to private agencies be given top priority.

3.2 What problems have nonprofit agencies incurred in reaching out to serve welfare-related recipients? Have there been any problems in certifying and determining eligibility or recipients? Have there been any problems in maintaining client confidence in agencies where the provider determines eligibility (e.g. have eligibility (probing) questions discouraged participation by potential service recipients?)

Several problems have been encountered by non-profit agencies in service welfare-related recipients. The types of problems vary among areas. In

some cases, agencies have observed that welfare offices have not been referring as many clients for service as they could be; this appears to be due to some confusion among line workers about what services are available and through which contracting agencies. A second problem has been created by changes in eligibility guidelines. Under the revised guidelines, welfare recipients are no longer automatically eligible for services but must show a need for service. For further discussion of this issue and other issues of eligibility determination refer to answer 1.5 previously mentioned.

In Massachusetts, there has been a great deal of controversy about maintaining client confidentiality while meeting reporting requirements. Some clients have refused to divulge information for eligibility determination, considering this to be an invasion of privacy. Several court suits have been filed by advocacy groups on behalf of clients.

4.0 Fees

4.1 For which types of services do voluntary agencies charge fees under the Title XX plan?

To date, there are no fees charged for any Title XX services provided in Massachusetts. Decisions regarding potential changes in this policy are pending a study on the effect of fees on service delivery. However, although the Executive Office of Human Services is planning such a study, it has not yet been begun; and no decision has been made to alter the "no-fee" policy for Title XX services.

4.2 Are fees charged by voluntary agencies' services comparable, more than, or less than those charged for the same services to recipients not eligible for Title XX services? (Cite examples)

Not applicable to Massachusetts (see answer 4-1 above).

4.3 Has the use of fees discouraged needy clients from obtaining any services?

Not applicable to Massachusetts (see answer 4.1 above).

IV. SERVICES MANAGEMENT

1.0 General

1.1 Has the state introduced any new management controls to implement Title XX? If so, for what underlying reasons? In what areas? Do these controls threaten service deliveries?

The state's principal effort in the area of management control is based on the new central office monitoring unit described in I. 3.3a. The unit now is making about 60 site visits monthly, conducting both administrative and program reviews. Currently there are no formal measurements of program operation utilized by the review team. The plan is for the review team to develop program objectives and criteria for evaluating programs, based on the experience of the site visits. Private providers also will be asked to assist in formulating the criteria. The same evaluation standards will be used for both direct services and purchased services. The relationship of services to Title XX goals will be one, but not the primary, criterion used for evaluating service delivery.

Performance standards are not expected to be formalized until the spring of 1977, and new evaluation methods will not be implemented before late 1977 or early 1978.

In contrast to new management controls, there are existing controls for private and public purchase contracts which focus on the amount and cost of services, and the number of clients served, but usually do not extend to the origin of client referrals or the ultimate effect of services on the client.

1.2 What types of management controls are being considered for improving management of services?

(a) client eligibility certification and determination
(b) licensing and accreditation of service deliveries
(c) cost factors for rates
(d) Civil rights requirements
(e) other?

The state reverted in May 1976 to use of the declaration method for client eligibility, mainly as a result of pressure from private providers to comply with state and federal regulations relating to privacy and confidentiality of information. Day care and homemaker services providers exerted the most pressure for the declaration method.

With regard to civil rights, the state requires in contracting for services that all public and private purchase contracts contain language prohibiting discriminatory employment practices, and all contracts exceeding $100,000 must contain language requiring the contractor to undertake affirmative action to eliminate past discriminatory practices and promote equal opportunity for women and minorities.

1.3 Has the state ever been threatened with the loss of federal financial support for failure to document client eligibility? cost? types of services? quantity of services? Is the state currently losing funds because of audit exceptions by HEW? If so, how much? for what services?

Since 1973, the Federal government has deferred more than $100 million in claims for purchased services. The deferments are based largely on imposition of the Twiname guidelines, issued by the Social and Rehabilitation Service in December 1972. The disputed claims are in the area of public purchase, for the most part. Principal issues were, 1) whether client eligibility had been established "at or prior to" service delivery; 2) alleged lack of adequate service plans; 3) inadequate cost information, and 4) inadequate income information on potential recipients. To date the state has received about $4 million of the disputed reimbursement, and the final outcome may hinge on the judgment in a

suit in Federal court challenging the legality of the Twiname guidelines. Massachusetts is a party to that suit.

Deferred claims for social services reimbursement continued through 1975. Since implementation of Title XX, the posture of the Federal government has been to provide Federal reimbursement funds pending subsequent review by auditors. One exception has been claims for community residential treatment services to alcoholics, under the Department of Public Health. HEW believes the program is a medical one and should be claimed under Title XIX. Another exception is claims for services contracted by the Office for Children, which HEW believes to be duplicative of Welfare Department services. The amount excepted by audit for FY 1976 to date is about $2 million.

2.0 Inventory of Services

2.1 Does the state maintain an inventory of what services are being delivered? to whom? by what agencies? at what costs? How often is such an inventory updated?

No. The Department of Public Welfare (DPW) distributes to its regional and local offices "contract summary" sheets which detail available services and the cost of such services which have been purchased in a designated geographical area. These sheets are intended for information and referral purposes. The Department also circulates a resource directory which contains very general information about available services.

This year the state published for the first time a "services directory" which was compiled in the Secretariat of Administration and Finance. The directory is a central inventory of all available services related to health, education and welfare. It contains a listing of 100 provider types, including information on eligibility and cost of each service. It also includes a list of 5,500 providers, categorized according to residential and non-residential services, and services designed exclusively for children.

Information in the directory is computer generated and stored, and it is expected to be updated easily. However, line workers in the DPW do not appear to have easy access to this directory as yet.

3.0 Measures of Effectiveness

3.1 What measures of outcomes has the state drawn up to evaluate delivery of services? How closely related are these measures to the Title XX goals? Has the state established any prototypes against which to compare effectiveness of services? Has the state attempted to compare outcomes of various services relative to the Title XX goals:

Please refer to Part IV, answer 1.1.

3.2 What management safeguards have been taken to assure quality of services? Does the state undertake any widespread information and referral activity to promote better knowledge and understanding of services by potential and existing client population?

The state uses an evaluation team which reviews the operation of each contract on an annual basis to assess the quality of services being delivered by providers. (see evaluation forms attached)

The distribution of Department of Public Welfare resource directories,e.g., to hospitals and other community facilities, is one form of outreach. The Office for Children, which has an advocacy function and a strong local orientation based on its representative Councils for Children located throughout the state, performs a significant outreach function. In addition, the Department of Elder Affairs, through its Home Care Corporations, operates a telephone information and referral system to acquaint the elderly with medical and social services for which they may qualify.

The state Title XX agency plans in the future to focus outreach efforts on so-called "resource mobilization" workers, whose function was developed as a result of the separation of assistance payments and social services in FY 1975. The duties of resource mobilization workers are to identify needed resources and to assist in mobilizing the community to create such resources. Outreach development is being considered, however,

in the context of a setting in which there is already more information and referral to services than there are available services to accommodate all clients.

3.3 What, if any, precautions have been taken to certify quality services by providers? Are any Title XX services licensed by the state? (list). What criteria are used for issuing licenses? Since most Title XX services are provided by persons, what criteria and standards have been applied to professionals who give service under the state plan? Are employees licensed such as with teaching or nursing care? Are educational requirements imposed on provider agencies and the state for counseling and psychiatric services? If licenses are issued, are they graded for various levels of quality?

To ensure quality of service provision under Title XX, the state requires that two types of facilities be licensed, day care facilities and group homes for children. Regulations for the licensing of those facilities are detailed and comprehensive in specifying minimum requirements for physical plant, safety, nutrition and other characteristics of the facilities themselves. Regulations for Day Care facilities were revised in August 1976.

As part of the contract, a licensed day care facility or group home is required to employ "qualified personnel." However, standards for professionals and other personnel are not spelled out by the state; no educational or other requirements are imposed. The qualifications of all personnel are defined at the discretion of each provider agency, and each facility is responsible for determining the qualifications of its staff.

3.4 Have any studies been ongoing at the state or local level within the state to compare quality of services provided by different provider groups? Have there been any investigations or disclosures relative to quality of care by proprietary agencies? in which services? What was found?

There have been no ongoing investigations at either the state or local level to study quality of services provided by non-profit or by proprietary agencies.

4.0 Measures of Cost and Efficiency

4.1 What criteria is the state using for determining costs for services? Is this reflected in rates of care paid to provider agencies?

Service costs are determined on the basis of demonstrated cost analysis of the provider's work with similar programs. Components of service cost include: direct personnel, other direct costs such as food, transportation, supplies and equipment; overhead, other income sources and program data. Rates are negotiated on the basis of these criteria.

4.2 Are any studies currently ongoing in the state to compare costs of delivering services by public, non-profit, and proprietary agencies? If so, what have been the early findings?

There have been no studies in the state of the comparative costs of delivering services by public, non-profit and proprietary agencies.

4.3 In three areas where services have been most competitive, prepare a list of providers in the state which: identifies type (non-profit (LUW), profit, proprietary, institutional, public (state), public (local)) of provider; number of recipients served; a breakdown of clients served; the overall agency budget, the unit cost for services, the components of services, and differences in personnel used to provide services.

This data is not available.

5.0 Reporting System

5.1 Is the reporting system being established by the state based on state management needs or HEW requirements? If it were not based on HEW requirements how would they be changed?

In revising its reporting systems as a consequence of Title XX, the state had a two-fold purpose: to meet Federal reporting requirements and to improve state management capability, particularly in regard to planning, budget control, and case management.

5.2 Who operates the reporting system (what branch of what division of state government)? Is data from the system rapidly and easily retrievable? Can it be correlated with other data on recipients which the state supports? How is the data utilized for improving planning?

A short history of the state's plans for revising its reporting systems is necessary to provide a perspective on this question. The original intention was to implement a revised manual system on a temporary basis prior to expansion of an automated system then in place in two state agencies (Department of Mental Health and Department of Youth Services). An interagency task force with specific expertise in systems was convened. The task force quickly ascertained that there was no uniformity among systems used by the various state agencies, that agencies' capability to assemble information varied widely, and that most systems were in fact manual, when they had to be computer based in order to meet the Title XX objectives.

The system which the task force planned to implement eventually was a combination of an automated client eligibility referral information system (CERIS) and an automated payment authorization system. The CERIS system constituted a multiple eligibility and service plan form which offered interagency compatibility while allowing for input of "agency specific" data as well. The system would be designed to generate unduplicated caseload counts and for planning purposes.

A number of problems arose as planning for the proposed system progressed. Problem areas ranged from technical difficulties, such as differing versions of how to define gross income, to complications of broader significance, including the confidentiality issue and the necessity for agreement and commitment among numerous agencies to a unified system. In addition, there was a Price-Waterhouse report which

was critical of the system's overall design. The CERIS/authorization system is now being piloted in the Department of Elder Affairs while the state relies, with a waiver from HEW, on the revised manual system. It is unclear whether the pilot system ultimately will be accepted as the state's reporting system.

In answer to the specific questions: the revised manual reporting system is located in the Finance Office of the Department of Public Welfare. In the course of a year, significant technical assistance has been provided by the Office of Federal/State Resources, in the Secretariat of Administration and Finance.

The revised manual system is based on an eligibility card and a service plan form, and is not correlated with other data on recipients. As a manual system, the information cannot be considered easily retrievable. It has some limited value as a planning tool since it provides better information than was previously available on the number and types of clients served and the services delivered in each region of the state.

5.3 What effects is the reporting system having on contract provider agencies? What costs have been incurred in updating information for the system? How does this compare with the total overhead costs allowed under POS contracts? Have reporting requirements interferred with efficient operation of the provider agency? Have reporting requirements intimidated potential contractors from applying for purchase of service contracts?

The effects of the reporting system on contract provider agencies has been discussed in detail in Part IV, answer 1.5, above. Some agencies have incurred additional costs for the development of more sophisticated data collection systems, and for the hiring of additional support staff. Other agencies have not incurred costs, either because previously existing information was adequate or because time for supportive services was donated by volunteers. Although there is no hard data available, it appears that these costs are within the amount allowed for overhead under POS contracts.*

* The Title XX agency automatically takes 10% of the total contract for administrative costs.

As discussed in answer 1.5, it has been the experience of some agencies that meeting reporting requirements has interfered with efficient agency operation. This is largely attributable to the fact that the time of line workers as well as of administrative support personnel has been diverted from other activities to meet reporting requirements.

It does not appear that reporting requirements have intimidated potential contractors to the degree that they have not applied for purchase of service contracts. However, several providers who previously contracted for Title XX services have refused to re-execute contracts in FY 1976. This was primarily because they objected to the state Title XX agency's reporting and record maintainance requirements. Some agencies have felt that the Title XX record-keeping system in Massachusetts violates the privacy of clients and poses a threat to confidentiality.

5.4 How similar is information provided to states re: services delivery by providers to information provided local United Way Organizations in the state? Have efforts been made to simplify reporting to state and United Way agencies by arranging for joint reporting by provider agencies? What problems exist in joint reporting for state and United Way agencies?

Information requested by local United Way organizations and that required by the state for Title XX services is not similar at this time. It has been necessary for United Way affiliates with Title XX contracts to maintain dual record-keeping systems in some cases.

To date, no efforts have been made to arrange for joint reporting to the state and to the United Ways by provider agencies. However, the Massachusetts Council of Human Service Providers is attempting to negotiate with the state Executive Office of Human Services and the Rate-Setting Commission to adopt the standards of accounting and financial reporting used by the United Ways and their member agencies. This would decrease the burden on those agencies which now must prepare three different financial reports for the United Way, the state contracting agency and the Rate-setting Commission.

Several problems exist in the development of a joint reporting system for state and United Way agencies. Confidentiality of data must be guaranteed to provider agencies; some agencies might resist providing unaggregated data. Some smaller United Way affiliates not now contracting for Title XX services might have to upgrade their data collection systems in order to meet more stringent reporting requirements. Finally, the development of a joint reporting system would necessarily involve a significant effort by state officials and United Way personnel. This effort might require more time than is available, especially considering the tight fime-frame within which Title XX staff must operate.

6.0 Management Training

6.1 How have training funds been applied by the state to improve management of services? How much has been used annually? Through what matching vehicle? Who has been the provider of training? What types of management training has been given? Have officials of provider agencies been included in training activities? In what ways have they been trained? Has training funds been used to teach measurement of cost and effectiveness of services? Other management techniques? How to determine eligibility? The cross section of Title XX requirements and regulations?

In 1974-75, the Department of Public Welfare conducted a major training effort in services management, involving training of central office executive staff level personnel, regional office personnel, community service center and local office supervisory personnel. A week's training was offered to each group and focused on organizational development, monitoring and evaluation, case management and reporting. The training was conducted by a private consulting firm, and was made possible through a $96,000 grant from the Federal government with no matching funds. The training was not geared to administration of the Title IV-A program, but toward the ongoing needs of social services personnel following separation: therefore, eligibility, cost of services, and regulations were not among the principal areas of training. Provider agencies were not included because funds were limited, and it was believed that state agency staff needs were greatest.

Training in services management has not occurred since the advent of Title XX, in part due to the restrictions of Federal regulations, and the difficulty of securing state matching funds for this purpose. The state agency plans to pursue services management training in 1977 through the use of donated funds.

V. FINANCIAL ANALYSIS

1.0 State Refinancing Trends

1.1 Is the state currently at its federal ceiling for federal financial aid? If so -- then how long have they been at their ceiling? Prior to reaching their ceiling was there any year that unusual spending growth took place for social services? When did the bulk of this growth get funded? Does the state have the financial reserve to match all Title XX funds with their own revenues? What percentage of state match is desired from the state? from state agencies outside of Title XX? What has been the trend?

The state's social services claims reached the Federal ceiling in FY 1972, but due to claims deferments, FY 1976 is the first year in which Federal reimbursement will equal the ceiling. Social services spending accelerated in FY 1972, particularly in the area of new public purchase of community-based services for the retarded and for community alcohol abuse treatment services; in private purchase, expansion occurred especially in homemaker, day care and protective services. Much of this growth has not yet been funded by the Federal government due to disputed claims (see IV. 1.3).

The state does have the financial resources to match Title XX funds. The FY 1976 state resources break down as follows: Department of Public Welfare - 63%, other state agencies - 32%, and donated funds - 4%.

1.2 What are the major service areas supported by Title XX? Of them, how much is provided directly by public agencies and how much by private providers? Are there any services delivered entirely by the state? for what reason?

The major service areas supported by Title XX, listed according to the percentage of the budget allotted to each service, are: day care, community residential services, homemaker services, family and individual life counseling, foster care, case management, day activity, protective services to children, and information and referral. If measured in terms of the numbers of people served, the service areas would be the same but the

ranking would be different. Also, a conspicuous addition would be family planning, with a -$1 million budget but an estimated 50,000 clients served.

It is not possible, for FY 1976, to determine accurately the amount of each service provided directly in contrast to the amount of each service that is purchased. The only service delivered entirely by the state is rehabilitation teaching services for the blind.

1.3 What services in which public agencies are currently receiving Title XX contracts for purchased services? Were these services previously funded by state financial support (a) prior to Title XX (b) prior to expansion of the IV-A and VI programs? Were Title XX funds used to expand funding for services in this area or to merely supplant state funds? If program expansion resulted, what percentage increase came from Titles IVA - VI or XX?

The two charts attached in Appendix D indicate the services provided in the various state agencies under Title XX contracts, and the previous source of funding for each service. Any program expansion was attributable to Title XX.

2.0 Spending Patterns

2.1 Which organization at the state level has responsibility for monitoring and controlling expenditures for Title XX? Does this office issue monthly or quarterly reports or collect data to determine the rate of obligations and outlays of funds? If so, how detailed is the data? (Sample). How does the state's current rate of obligation and expenditure compare with the Title XX Plan? Is a state audit conducted by the legislation or some independent body to compare actual expenditures with planned costs?

The Finance Office in the Department of Public Welfare collects data on a quarterly basis to determine the rate of expenditures. In the area of public purchase, the data collected currently reflects expenditures on an agency basis; back-up information remains in the respective agencies. For the next fiscal year it is planned to collect data on a site-by-site basis. For private purchase contracts, spending levels are compiled on a monthly basis for each service. The Department collects information on expenditures mainly for Federal reporting purposes, and does not issue its

own reports on social services spending levels.

Actual spending in FY 1976 is at a level significantly below plan estimates in the area of public purchase, and somewhat below estimates in private purchase. There are no audits conducted on a regular basis. The State Auditor's office performs that function, but on an ad hoc basis.

3.0 Planning and Budgeting Related

3.1 What affect did the timing of the state plan for Title XX have on budgeting decisions and priorities within the state? Did information and data accumulated from the planning process substantially affect the priorities and budget decisions for the subsequent year? How well coordinated are the planning and budgeting effects relative to the coming plan and fiscal budget year? Will any major budgetary shifts over in amounts of funds spent, categories of services, or levels of support?

In the first year, the plan was developed independent of the state budgeting process. The FY 1976 plan was finalized as the Legislature was nearing completion of action on the FY 1976 budget.

The state budget cycle requires that executive agency recommendations be developed and modified between September and November, for submission of the budget to the Legislature on January 1. Since the first year plan was completed in the fall, and work on the second year plan had to be initiated immediately, it was not possible to coordinate with the budget process. The second year plan, in fact, was a reflection of agency budget decisions.

3.2. Who has played the key role in budgeting decisions at the state level? the governor? the state budget office? the Title XX agency? or the state legislature? Why?

The state Secretariat of Administration and Finance, whose head is appointed by the Governor and is a member of the Governor's Cabinet (and is sometimes referred to as the "Deputy Governor"), exerts major

influence over budget decisions. This office reviews recommendations from line agencies and other cabinet offices and makes modifications which in most instances are supported by the Governor. The Legislature, and particularly the Senate and House Committees on Ways and Means, have at least equal influence over final appropriations, however.

The situation in FY 1976 and, to a somewhat lesser degree, in FY 1977 has varied from this pattern because the state faced a fiscal crisis which necessitated the largest new tax program in modern Massachusetts history. In this period the Governor and Secretary of Administration and Finance have wielded far more power in the formulation of the state budget than has the Legislature.

APPENDIX A

Sources of Needs Assessment Data

From Appendix B of the 1976 Massachusetts Comprehensive Annual Social Service Plan

SOURCES OF NEEDS ASSESSMENT DATA

A listing of basic information sources used in projecting assessment is included below:

1. Census statistics or Department of Labor statistics. Used largely to estimate "total State population" figures, numbers of unemployed, number of families below poverty level, number of disabled, etc.

2. Individual agency case analysis. Used by almost all agencies to tabulate information on the "at risk" population for 1975 and projected numbers of people in need of services in 1976.

3. Special reports. In several instances, special surveys involving specific client groups, had been conducted, some as recently as March, 1975, and were utilized by various agencies in the analysis of need. Studies included but were not limited to:

   a. Study by Project RESPOND. Somerville, Massachusetts on abuse and neglect of children and adults in publically financed housing.

   b. Estimated Impact of Home Care on Public Health Expenditures for the Elderly, Department of Elder Affairs, Massachusetts, 1975.

   c. University of Massachusetts/Boston Survey Research Study, conducted for the Massachusetts Department of Public Health, on Health Care Needs of Non-Institutionalized and Chronically Disabled Elderly Persons in Massachsetts, 1975.

   d. Analysis of Statewide Planning Reports for Rehabilitation, Summary Report, Massachusetts Rehabilitation Commission, January, 1970.

   e. Assessment of Child Mental Health Needs and Programs, compiled by the American Technical Assistance Corporation, December, 1974.

   f. Selected Prevalence Rates, specifically drawn from the Mid-Town Manhattan and Monroe County Studies, compiled by staff of the Mental Health Research Unit of the New York State Department of Mental Hygiene, August, 1973.

g. Unrecognized Psychiatric Illness in the Elderly, Dr. Marc Schuckit, October, 1974 (presented at a meeting of the American Gerontological Society).

h. A Plan for Reformation of Services for the Mentally Retarded, Burton Blatt, Massachusetts Department of Mental Health, Division of Mental Retardation

i. Health Data Annual, 1974, Commonwealth of Massachusetts Department of Public Health, Volume 1, #1.

j. Program for the Treatment, Prevention and Rehabilitation of Alcoholics, Massachusetts Department of Mental Health Planning Report and Recommendations, 1970.

k. Comprehensive Plan for Drug Abuse Prevention, Chapter IV, "Needs and Gaps in Service", December 1973.

l. Massachusetts Developmental Disability Council State Plan for the Provision of Services and Facilities for Persons with Developmental Disabilities, Fiscal Year, 1974, page 72.

m. The Deaf Population in the U.S., by Jerome D. Schein and Marcus T. Delk,Jr.

4. Key Informants.
In addition to the expert opinions provided by agency staff, the judgements of informed citizens were also made available to the Title XX staff during the planning and the public comment process. Key informants in projecting needs assessment data included:

a. Tenants Service Planning Process - Department of Community Affairs.

b. Day Care Advisory Group.

c. Statewide representatives of elderly, child, physically and developmentally disabled, Spanish speaking, and welfare recipient advocate groups and private providers of service in the Commonwealth.

d. Regional Committees on Title XX, composed of public agency representatives and consumer/provider representatives.

APPENDIX B

United Way Member Agencies
Having Signed Donation
Agreements with the
Commonwealth of Massachusetts
April 1, 1974 to April 1, 1976

N.B. Those contracts signed after April 1, 1974 and before April 1, 1975 are for FY 1975. Those contracts signed after April 1, 1975 and before April 1, 1976 are for FY 1976.

1976

AGENCY	DATE OF DONATION AGREEMENT	SERVICE	AMOUNT OF DONATIONS	AMOUNT OF SERVICES PURCHASED
Boys Club of Boston	01/05/76	After School Day Care	$60,000	$216,000
Ecumenical Social Action	01/05/76	After School Day Care	5,400	19,440
Lena Park Comm. Ctr.	01/05/76	After School Day Care	5,000	18,000
Cardinal Cushing Span. Ctr.	02/05/76	After School Day Care	1,000	3,600
		TOTAL AFTER SCHOOL DAY CARE:	$71,400	$257,040
Inquilinos Boricuas En Accion	01/05/76	Family & Individual Life Couns.	7,900	28,440
JFK Fam. Serv. Ctr.	01/05/76	Family & Individual Life Couns	7,000	25,200
Charles River Assoc. Ret. Citizens	01/20/76	Family & Individual Life Couns	10,000	36,000
United So. End Settlements	01/27/76	Family & Individual Life Couns	17,500	63,000
		TOTAL FAMILY & INDIVIDUAL LIFE COUNS:	42,400	152,640
Catholic Charities of Boston	03/03/76	Protective Services	10,000	36,000
		TOTAL PROTECTIVE SERVICES:	10,000	36,000

Cooper Community Center	3/03/76	Day Care	15,000	54,000
		TOTAL DAY CARE	15,000	54,000
United Comm. Planning Corp.	3/03/76	Project	12,000	43,200
		TOTAL 1976 CONTRACTS BEFORE 4/1/76:	150,800	522,880

Elma Lewis School	01/08/75	After School Day Care	$ 60,000	$ 216,000
Cambridge Art Center	03/14/75	After School Day Care	13,000	46,800
J.F.K. Family Svs. Ctr.	04/08/75	After Shcool Day Care	6,900	24,840
Lynn Girls Club	05/05/75	After School Day Care	7,000	25,200
Cambridge Community Ctr.	10/21/75	After School Day Care	25,800	92,880
East Boston Social Cts.	12/04/75	After School Day Care	14,000	50,400
		TOTAL AFTER SCHOOL DAY CARE:	$126,700	$456,120
Cooper Community Ctr.	01/27/75	Day Care	$15,000	$54,000
Cambridge YWCA	05/05/75	Day Care	18,200	65,520
Cerebral Palsy of So. Shore	06/23/75	Day Care	11,000	39,600
Assoc. Day Care Svs. Met. Bos.	09/23/75	Day Care	85,000	306,000
No. Bennet St. Ind. School	09/29/75	Day Care	8,500	30,600
		TOTAL DAY CARE SERVICES:	$137,700	$495,720
Fam. Svs. Assoc. Gr. Boston	01/13/75	Family Life Education	$50,000	$180,000
Family Couns. & Guidance	02/24/75	Family Life Education	7,500	27,000
Laboure Center	02/24/75	Family Life Education	10,000	36,000
Fam. & Children's Sv. Gr. Lynn	03/14/75	Family Life Education	10,000	36,000
Dedham Family Service	05/12/75	Family Life Education	3,000	10,800
Camb. Fam. & Child's Serv.	05/23/75	Family Life Education	5,000	18,000
Family Svs. Assoc. of Boston	07/28/75	Family Life Education	9,000	32,400
Fam. Counseling Serv. R.W.	08/21/75	Family Life Education	10,000	36,000
United So. End Settlements	10/21/75	Family Life Education	12,000	43,200
East Boston Soc. Centers	12/04/75	Family Life Education	21,000	75,600
Concord Family Service	12/17/75	Family Life Education	3,000	10,800
		TOTAL FAMILY LIFE EDUCATION:	$140,500	$505,800
Fam. Svs. Assoc of Gr. Boston	01/28/75	Protective Services	$25,000	$90,000
United So. End Settlements	01/29/75	Protective Services	27,000	97,200
Catholic Charities Boston	02/24/75	Protective Services	20,000	72,000
Ecumenical Social Action Com.	05/05/75	Protective Services	2,500	9,000
Camb/Som Cath. Charities	06/20/75	Protective Services	10,000	36,000
Children's Protect. Services	10/01/75	Protective Services	24,200	87,120
Cath. Char. of Camb/Som.	10/06/75	Protective Services	30,000	108,000
Children's Protective Svs.	12/04/75	Protective Services	83,500	300,600
		TOTAL PROTECTIVE SERVICES:	$222,200	$799,920

			AMOUNT OF DONATIONS	SERVICES PURCHASED
Agassiz Village	July, 1975	Residential Camping	$2,000	$7,200
Big Sister Association	"	Residential Camping	200	720
Boston Council, Boy Scouts	"	Residential Camping	3,000	10,800
Boston, Camp Fire Girls	"	Residential Camping	500	1,800
Boston Childrens Svs. Assoc.	"	Residential Camping	4,000	14,400
Boston YMCA	"	Residential Camping	11,000	39,600
East Boston Social Centers	"	Residential Camping	3,000	10,800
Salvation Army	"	Residential Camping	7,000	25,200
United South End Settlements	"	Residential Camping	2,000	7,200
		TOTAL RESIDENTIAL CAMPING:	$32,700	$117,720
Inquilinos Boricuas En Accion	05/05/75	Services for Tenants in P.H.	10,000	36,000
Catholic Charities Boston	05/05/75	Unwed Mothers	13,000	46,800
Boston Children's Service	05/23/75	Emergency Care	20,000	72,000
		TOTAL 1975 CONTRACTS:	$702,800	$2,530,080

AGENCY	DATE OF DONATION AGREEMENT	SERVICE	AMOUNT OF DONATIONS	AMOUNT OF SERVICES PURCHASED
E. Boston Social Center	10/22/74	After School Day Care	14,000	50,400
Camb. Community Center	11/08/74	After School Day Care	23,000	82,800
Boys' Club of Boston	12/09/74	After School Day Care	19,200	69,120
Lena Park Community Ctr.	12/10/74	After School Day Care	5,000	18,000
		TOTAL AFTER SCHOOL DAY CARE:	61,200	220,320
Children's Protective Svs.	09/03/74	Protective Services	83,500	300,600
Cath. Char. Cam/Somerville	10/08/74	Protective Services	20,000	72,000
Boston Children's Service	11/19/74	Protective Services	25,000	90,000
		TOTAL PROTECTIVE SERVICES:	128,500	462,600
Catholic Charities of Boston	11/14/74	Emergency Services	30,000	108,000
Boston Children's Service	11/15/74	Emergency Services	20,000	72,000
		TOTAL EMERGENCY SERVICES:	50,000	180,000

AGENCY	DONATION AGREEMENT	SERVICE	AMOUNT OF DONATIONS	AMOUNT OF SERVICES PURCHASED
Agassiz Village	July, 1974	Residential Camping	$ 2,000	$7,200
Big Sister Assn.	July, 1974	Residential Camping	700	2,520
Boston Children's Svs.	July, 1974	Residential Camping	4,000	14,400
MSPCC (Children's Protective Svs)	July, 1974	Residential Camping	1,000	3,600
East Boston Soc. Ctrs	July, 1974	Residential Camping	3,000	10,800
Fed. Dorch Neigh.Houses	July, 1974	Residential Camping	1,000	3,600
Judge Baker Guid. Ctr.	July, 1974	Residential Camping	600	2,160
Gtr. Bost. Camp Fire Girls	"	Residential Camping	300	1,080
Gtr. Boston YMCA	"	Residential Camping	5,000	18,000
Mystic Valley Mental Health Center	July, 1974	Residential Camping	500	1,800
Newton YMCA	July, 1974	Residential Camping	1,800	6,480
J.J. Putnam Child. Ctr.	July, 1974	Residential Camping	1,800	6,480
Salvation Army	July, 1974	Residential Camping	7,500	27,000
United So. End Sett.	July, 1974	Residential Camping	3,750	13,500
		TOTAL RESIDENTIAL CAMPING:	$ 32,950	$118,620
Assoc. Day Care Svs. Metropolitan Boston	08/23/74	Day Care	85,000	306,000
Fam. Svs. Gtr. Boston	09/03/74	Homemaker Services	5,375	19,350
Fam. Svs. Gtr. Boston	09/03/74	Unmarried Mothers	2,250	8,100
E. Boston Soc. Ctrs.	09/06/74	Tenants in Publicly Asst. Hsing.	21,000	75,600
		TOTAL 1974 CONTRACTS AFTER 4/1/74:	386,275	1,390,590

APPENDIX C

Commonwealth of Massachusetts

Eligibility Determination "Face" Sheet

for Title XX Services

Facility/WSO, Name, Street Address, City

☐ Region, Area, Facility/WSO Code Number:

☐ Contract Number

Commonwealth of Massachusetts
Department of Public Welfare
SOCIAL SERVICES APPLICATION

The above named facility is dependent in part upon certain Federal funds that are distributed through the Department of Public Welfare. This statement is intended only to provide the Department of Public Welfare the information needed to make application for these Federal funds. The final responsibility for verifying eligibility for Federal funds rests with the Department of Public Welfare. THIS STATEMENT IS NOT AN APPLICATION FOR ASSISTANCE PAYMENTS.

CLIENT AND APPLICANT INFORMATION

Date of Application	Client Case Identification Number / Social Security Number/Case Record Number	Name Check

Applicant's Name: Last First MI Applicant's Mailing Address if different from home address:

Applicant's Address: Street Number Apartment City State Zip Code

Name and Address of Client if different than applicant's: Street Number Apartment City State Zip Code

PUBLIC ASSISTANCE HISTORY (FOR CURRENT, FORMER, AND POTENTIAL)

Client Receives:
11 ☐ SSI-OAA 12 ☐ AFDC 13 ☐ SSI-DA ☐ GR
45 ☐ MA-OAA 46 ☐ MA-AFDC 47 ☐ MA-DA
48 ☐ MA-under 21 ☐ NONE

Client states that he/she is not now receiving public assistance...
but an application is pending for:
21 ☐ SSI-OAA 22 ☐ AFDC 23 ☐ SSI-DA ☐ NONE
but did within the past two years:
31 ☐ OAA 32 ☐ AFDC 33 ☐ DA ☐ NONE

ELIGIBILITY DETERMINATION

WSO _____

Medicaid ID Number _____

"Eligibility From" Date:

_____ _____
_____ _____
_____ _____
_____ _____

CURRENT INCOME (FOR POTENTIAL ONLY)

☐ Client's Own Income is:
$ .00

☐ Client's Current Family Income is:
$ .00

The income above is per . . . Check Appropriate Boxes:
☐ week
☐ month ☐ net
☐ year ☐ gross

FAMILY MEMBERS DEPENDENT UPON FAMILY INCOME

Is a Client the Head of Family?
☐ No ☐ Not Applicable (Client lives apart from his family)
☐ Yes

Male Head of Family	Social Security Number
Female Head of Family	Social Security Number

Number of Family Members Dependent Upon Family Income _____

If child between 18 and 21 living in household, is he regularly attending school, college, university or Vo. Tech. course? ☐ No ☐ Yes

Number of Children			
Under age 6	Age 6-14	Age 15-17	Age 18-21

IDENTIFY BELOW ONLY THOSE FAMILY MEMBERS WHO ARE TO RECEIVE SERVICES

Names of Clients	Relation to Head of Family	Sex M - F	Birthdate Month Day Year	Social Security Number

SERVICE REQUEST IS RELATED TO: (see reverse side for definitions)

A ☐ Child Care due to Employment Employment Related Activitie
B ☐ Child Care due to Employment Training
C ☐ Child Care due to Family Member Death, Absence, or Incapacity
D ☐ Family Planning
E ☐ Mental Retardation
F ☐ Drug Addiction
G ☐ Alcoholism
H ☐ Foster Care
I ☐ WIN
J ☐ None of the above

It is my understanding that the information contained herein will be reviewed by the Department of Public Welfare, but that the information will be held in confidence. I certify that the information is correct to the best of my knowledge. I will immediately report any change in income or family size to this agency.

pt/Eligibility Code

Signature of Client (or other person on client's behalf)

Date of Determination

Title or relationship to client (if other person)

SOC-3

ıctions on Completing this Form

. CLIENT AND APPLICANT INFORMATION section requests from you certain information about you. Birthdate, social security ·, and residence, for example, are particularly important for the purpose of determining whether you can be counted among for whom Federal Social Service Funding support may be claimed.

. Please read the PUBLIC ASSISTANCE HISTORY section most carefully. If you have had absolutely no contact with your elfare Office during the past two years, check the "NONE" boxes. Otherwise, check whichever of the statements and boxes licable. NOTE: If the client has never received Public Assistance or if he is a current recipient of GR, you must com- e CURRENT INCOME section and a SOC-3b form in order to reach an Eligibility Determination.

. The box labeled "Eligibility Determination" requires that the WSO number and Medicaid ID number be entered. These s are taken directly from the client's Medicaid card. Also on the card, is an issue date called the "eligibility from" This date should be entered on the line provided on the form. The remaining lines are for additional "eligibility from"

The information in this box is important for re-determining client eligibility at least every six months. If the client card, enter the date of determination under "Eligibility From".

. The CURRENT INCOME section requests information from you concerning total family income and also your own income. Both eeded. First, indicate the amount of family income, include family member contributions to this income. If your family's e is obtained weekly, monthly, or annually, check the appropriate box. Then, finally, indicate whether the income amount t (i.e., "take-home" pay) or gross (i.e., before taxes or any deductions). Do the same for your own income. If you have come of your own, enter "NONE". If you are your family's only source of income, and there is no other family income, the income amounts will be the same in both places. This section applies to potential recipients only.

. The section on FAMILY MEMBERS DEPENDENT UPON FAMILY INCOME seeks information on your family status. Be sure to enter umber of family members dependent upon family income. This section applies to potential recipients only.

. The section IDENTIFY BELOW ONLY THOSE FAMILY MEMBERS WHO ARE TO RECEIVE SERVICES requests more specific information for individual family members for whom the application for social services is being made. List complete Name, i.e., First ıst Name, and Middle Initial.

For the section SERVICE REQUEST IS RELATED TO, please read the definitions below before checking the appropriate box.

A - Child Care Due to Employment or Employment-Related Activities -- Services on a regular basis for a portion of the day to meet the needs of the child for personal care, protection, and supervision when such services enable a member of such child's family to accept or continue in employment.

B - Child Care Due to Employment Training -- Services on a regular basis for a portion of the day to meet the needs of the child for personal care, protection, and supervision when such services enable a member of such child's family to participate in training to prepare for employment.

C - Child Care Due to Family Member Death, Absence, or Incapacity -- Services on a regular basis for a portion of the day to meet the needs of the child for personal care, protection, and supervision when such services are needed because of the death, continued absence from the home, or physical or mental incapacity of the child's mother, which prevents her from providing adequate care and supervision for the child and the inability of any other member of the child's family to do so. In addition to the above child care situations, in the case of all recipients of of AFDC, services on a regular basis for a portion of the day to meet the needs of a child who has been identified as likely to become neglected or abused as a result of home conditions.

D - Family Planning -- Social, educational, and medical services to enable individuals, including sexually active minors, to have freedom of choice with regard to size of family and the spacing of children. These services include counseling about available methods of family planning, medical contraceptive services and supplies; and follow-up care outlining medical and educational resources available in the community. No family planning costs for Medicaid recipients which are chargeable to Title XIX may be included.

E - Mental Retardation -- Services provided to mentally retarded individuals because of their mentally retarded condi according to the diagnosis of a licensed physician, facility director or clinician.

F - Drug Addiction -- Services provided to individuals who have drug addiction problems, if such services are needed according to the diagnosis of a licensed physician or facility director.

G - Alcoholism -- Services provided to individuals who have alcohol problems, if such services are needed as part of a program of active treatment for the alcohol problems, according to the diagnosis of a licensed physician.

H - Foster Care -- Services provided to a child who is under AFDC foster care, as a result of a judicial determination. In a foster family home or in a child care institution, or while awaiting placement in such a home or institution. Services must be needed because the child is under foster care.

I - WIN -- Social services provided that are certified as necessary by DES for certified WIN clients. This program is exclusively a DPW-DES program.

Exempt/Eligibility Code: (For Department use only. The social worker will enter the checked exempt codes A through J and the eligibility code as determined in the PUBLIC ASSISTANCE HISTORY box and/or on the Reimbursement-Eligibility Determination Form.)

APPENDIX D

Services Provided by State Agencies Under Title XX Contracts

The agency abbreviations which appear on the charts are as follows:

DPW - Department of Public Welfare
DEA - Department of Elder Affairs
DOC - Department of Correction
OFC - Office for Children
DMH - Department of Mental Health
DYS - Department of Youth Services
DPH - Department of Public Health
MCB - Massachusetts Commission for the Blind
MRC - Massachusetts Rehabilitation Commission
EOEA- Executive Office of Educational Affairs
DCA - Department of Community Affairs

Title XX Services Provided by Public Agencies

Service	DPW	DEA	DOC	OFC	DMH	DYS	DPH	MCB	MRC	EOEA	DCA
Adoption	X										
Case Management	X	X			X			X			X
Chore	X	X						X			
Community Residential	X		X		X	X	X				
Comprehensive Family Planning	X										
Day Activity				X	X	X					
Day Care	X			X							
Educational Opportunity										X	
Emergency Services	X	X			X						
Emergency Shelter	X			X							
Extended Employment									X		
Family & Individual Life Counseling	X			X	X		X	X			
Foster Care	X				X						
Homemaker	X	X						X			
Housing	X							X			
I & R	X	X		X	X			X			
Legal	X										
Protective-Adults	X										
Protective-Children	X			X							
Recreational				X	X			X			
Rehabilitation								X			
Sheltered Workshop				X	X						
Talking Books								X			
Therapeutic Day				X	X						
Transportation		X									

Agency	Service	Previous Funding Source
DPW	Adoption	Title IV-A
DPW	Case Management	Title IV-A
DPW	Chore	Title IV-A
DPW	Community Residential**	State Funds
DPW	Family Planning	Title IV-A
DPW	Day Care	Title IV-A
DPW	Emergency Services	Title IV-A
DPW	Emergency Shelter	Title IV-A
DPW	Family & Individual Life Counseling	Title IV-A
DPW	Foster Care	Title IV-A
DPW	Homemaker	Title IV-A
DPW	Housing	Title IV-A
DPW	Information and Referral	Title IV-A
DPW	Legal	Not Previously Offered
DPW	Protective Services - Adults	Title IV-A
DPW	Protective Services - Children	Title IV-A
DEA	Case Management**	Title III and State Funds
DEA	Chore	Title III, Title IV-A and State Funds
DEA	Emergency Services	Not Previously Offered
DEA	Homemaker	Title III, Title IV-A and State Funds
DEA	Information and Referral**	Title III and State Funds
DEA	Transportation	State Funds
DOC	Community Residential	State Funds
OFC	Day Activity	State Funds
OFC	Day Care	Title IV-A
OFC	Emergency Shelter	Title IV-A
OFC	Family & Individual Life Counseling	Title IV-A
OFC	Information and Refferal	State Funds
OFC	Protective Services - Children	Title IV-A
OFC	Recreational	State Funds
OFC	Sheltered Workshop	State Funds
OFC	Therapeutic Day Services	State Funds
DMH	Case Management**	State Funds
DMH	Community Residential	Title IV-A
DMH	Day Activity	Title IV-A and State Funds
DMH	Emergency Services	State Funds
DMH	Family & Individual Life Counseling	State Funds
DMH	Foster Care**	State Funds
DMH	Information and Referral	State Funds
DMH	Recreational	State Funds
DMH	Sheltered Workshop	Title IV-A
DMH	Therapeutic Day Services**	Title IV-A and State Funds
DYS	Community Residential	Title IV-A
DYS	Day Activity	State Funds

**Indicates the program existed to some degree in the agency before but has been expanded. This expansion is distinct from regularly increased appropriations in ongoing public welfare programs such as day care, homemaker and chore services.

Agency	Service	Previous Funding Source
DPH	Community Residential	Title IV-A
DPH	Family & Individual Life Counseling	Title IV-A
MCB	Case Management	Title VI
MCB	Chore	Title VI
MCB	Family & Individual Life Counseling	Title VI
MCB	Homemaker	Title VI
MCB	Housing	Title VI
MCB	Information and Referral	Title VI
MCB	Recreational	Title VI
MCB	Talking Books	Title VI
MRC	Extended Employment	State Funds
EOEA	Educational Opportunity	Title IV-A
DCA	Case Management	Not Previously Offered

APPENDIX E

Special Subject Area Reports

TITLE XX CLEARINGHOUSE SPECIAL SUBJECT AREA REPORT

Citizen Participation In Title XX Planning

by Audrey M. Ryack
United Community Planning Corporation
Boston, Massachusetts 02108

KGROUND:

In planning for the first Title XX year, all states faced the problem of developing a n within an exceedingly tight time frame. In Massachusetts this problem was pounded by two factors: first, several newly-elected key state officials were amiliar with social service delivery; secondly, Massachusetts was facing severe get deficits. Although the fiscal crisis had no direct affect on Title XX services, absorbed the attention of the legislature and of the general public.

The ceiling for federal reimbursement under Title XX currently is the same as t under Title IV-A. Under Title IV-A, a good working relationship existed between te human service staff and private providers, due to joint efforts in developing donated funds program. During the Title XX planning process, these relationships private sector staff with core staff remaining from previous administrations e useful both to the planning team and to private providers.

ST YEAR PLANNING FOR TITLE XX:

Planning Process

First year planning was initiated in March, 1975, and was coordinated by a seven- on group working out of the cabinet-level Massachusetts Executive Office of n Services (EOHS). In addition to this core group, there was an interagency task e with representation from state agencies. Due to time constraints, the planning ess was implemented centrally.

Soon after the signing of Title XX in January, 1975, United Way organizations met the Secretary of Human Services and the planning team to offer staff time. ough the state could not take full advantage of that offer (again, due to time traints), they did agree that a United Community Planning Corporation (UCPC) f person should act as liaison between the public and private sectors. Additional

UCPC staff performed other functions during the first-year planning. A Statewide Advisory Committee was formed during the initial planning stages which included representatives from private and voluntary agencies. This committee met once formally and then was discontinued.

As a first step in planning, public social service agencies were asked to provide existing client and program data. Thirteen issue papers then were prepared by the state planning staff. Seven regional interagency committees, made up primarily by state agency staff, were established to review and comment on the issue papers.

In the period March-May 1975, statewide organizations were asked to comment on the issue papers. The Secretary of Human Services met once, very late in the planning process, with provider and consumer groups to solicit comments on the issues, and the planning staff participated in several public and private sessions around the state briefing groups on the planning effort.

In an effort to fill remaining information gap and to stimulate involvement of the private sector in the planning process, UCPC convened a series of meetings for United Way organizations. Copies of the issue papers were not available to private agencies for review until two weeks before the drafting of the 1976 plan, However, many private agencies did submit written comments on the issue papers.

Following publication of the proposed plan on July 1, the planning team organized meetings at the regional level to review its contents. Public hearings were held in the state's three largest cities. Although the public hearings on the draft plan were held very late in the planning process, voluntary agencies testified and submitted written comments. In July, task forces were formed on three major issues and all included private agency representatives.

Citizen Participation:

The 1976 CASSP states that "citizens felt they had limited input into the draft plan, ..many questioned whether individual or group involvement was really wanted by the state." There was no involvement of the private sector in the development of the

planning process or in the gathering of data. It must be noted, however, that the restricted role of the private sector was attributable to the bureaucratic demands on state staff under Title XX, and to time constraints.

SECOND YEAR PLANNING:

In the second year, the planning team was relocated in the Department of Public Welfare (DPW). The Massachusetts Commission for the Blind (MCB) also was designated as a Title XX agency because of its history of providing high quality services. There were no problems in coordinating the efforts of the two designated agencies.

The second year planning process differed little from that of the first year. Again, input from consumers and private providers was limited, due to time constraints and the difficulty in coordinating Title XX planning with the state budgeting process.

URRENT PLANNING FOR TITLE XX:

The 1978 CASSP is scheduled to be completed by September. The Title XX planning team has been restructured and has stated its intent that the regional committees should have significant input into the needs profiles and other major Title XX issues. Private sector involvement began in April, primarily through seven regional committees, each of which was assigned a full-time state staff person. Although the committees did set needs priorities, they have had no input so far on major issues. Thus, the question of the impact of private agency input through the regional committees remains open to question.

However, there are other avenues for private input into the 1978 CASSP. The Title XX agency has indicated an interest in incorporating service definitions developed by UCPC and the United Way of Massachusetts Bay into the 1979 Title XX plan. Data from a major UCPC study willbe used in the 1978 Title XX plan. A new Advisory Committee has been established, comprised of members from the National Association of Social Workers, from State agencies other than DPW, and from academia.

Although the level of citizen participation for the first two years of planning for Title XX was not what the private sector had hoped for, the planning structure for 1978

may result in greater input. The effects of these changes remain to be seen.

TITLE XX CLEARINGHOUSE SPECIAL SUBJECT AREA REPORT

Comparison of United Way of Massachusetts Bay Service Definitions to Service Definitions In The Massachusetts Title XX Comprehensive Annual Social Service Plan

In June, 1976, the United Community Planning Corporation (UCPC) and the United Way of Massachusetts Bay (UWMB) completed a joint effort to classify and define the major services provided with United Way support to the residents of metropolitan Boston (exclusive of hospital programs). This report includes definitions of the 33 major services which were identified, presented in accordance with a standardized format. This format, compatible with UWASIS, has been developed specifically to facilitate program evaluation incorporation into Management Information Systems.

The Massachusetts Title XX agency (Department of Public Welfare) has expressed to UCPC an interest in developing definitions for Title XX services utilizing the format developed for the UWMB definitions. The service definitions in the Title XX Comprehensive Annual Social Service Plans currently differ from the UWMB/UCPC definitions. In general, the scope of the UWMB/UCPC Definitions as activities related to an identifiable service. The UWMB/UCPC Definitions cover 24 of the 30 Title XX Services; six Title XX services are not now covered by the UWMB/UCPC definitions.

The chart attached lists the 30 Massachusetts Title XX services and compares these to the UWMB/UCPC Service Definitions. The chart also includes comments on definitions of individual services.

The use of standardized definitions in both the public and the private sector has important implications for the future planning of social service delivery. The common definition of services would permit the measurement of services available in each area and the identification of gaps and/or duplications in the service delivery system. This is an important first step in planning for services to meet community needs. When the public and voluntary sectors begin to define services in common, sharing similar perceptions of the nature of each service area, great strides may be taken toward effective comprehensive community human service planning.

ATTACHMENT

Applicability of UWMB/UCPC Service Definitions to Title XX Services in Massachusetts (FY 1977 Comprehensive Annual Social Services Plan)

Prepared by:

Margaret N. Ryan
Senior Planner
United Community Planning Corporation
Boston, Massachusetts 02108

	Yes	No		
Assessment and Diagnosis		X		These activities are included as part of several specific services for which they are provided
Camping Services	X		Camping	
Case Management Services		X		Included as activities of the service to which it applies.
Chore Services		X		Not provided with UW funds
Community Mobility Services	X		Social Rehabilitation	UWMB/UCPC definition covers this but is not limited to the blind
Community Organization/Development Services	X		Community Planning	
Community Residential Services (half-way houses, etc.)	X		Social Rehabilitation	
Comprehensive Family Planning Services	X		Preventive Health Services: Health and Safety Education/ Promotion	

Title of Service	Yes	No	Definition	Comment
Day Activity Services	X		Social Rehabilitation	More specific detail is needed to determi whether this may als include "Vocational Rehabilitation"
Day Care Services	X		Day Care	
Emergency Services	X		Emergency Services	
Emergency Shelter Care	X		Emergency Services	
Extended Employment Services	X		Social Rehabilitation	More specific detail needed to determine whether "Employment Assistance" is included
Family and Individual Life Education and Counseling Services	X		Family Life Education	
Homemaker Services	X		Homemaker Services	
Home Management Services		X		

	Yes	No		
Housing Services	X		Housing Assistance	
Information and Referral Services	X		Information and Referral	
Legal Services	X		Civil Legal Services	UWMB/UCPC Definition excludes criminal legal services; unclear whether Title XX does also
Placement Services	X		Foster Family Services	
Protective Services for Adults	X		Protective Services	One UWMB/UCPC Definition
Protective Services for Children	X		Protective Services	Includes both Services
Recreation Services	X		Participatory Recreation	
Rehabilitation Teaching Services (blind)	X		Social Rehabilitation	
Sheltered Workshop Services	X		Social Rehabilitation	
Specialized Foster/Family Care Services	X		Foster Family Services	

TITLE XX SERVICE	DEFINED BY UWMB/UCPC		TITLE OF UWMB/UCPC DEFINITION	COMMENT
	Yes	No		
Talking Books		X		
Therapeutic Day Services	X			Additional Information needed to determine if this may be "Social" or "Physical Rehabilitation
Transportation Services		X		
Vision Utilization	X		Social Rehabilitation	May include "Preventive Health Services: Health and Safety Education/ Promotion

MS/e
6/23/78